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*Class Counsel for Lead Plaintiffs Julia Junge and  
Richard Junge and the Class*

**UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION**

JULIA JUNGE and RICHARD JUNGE, on  
behalf of themselves and a class of similarly  
situated investors,

Plaintiffs,

v.

GERON CORPORATION and JOHN A.  
SCARLETT,

Defendants.

Case No. 3:20-cv-00547-WHA (DMR)

Class Action

(Consolidated with Case No. 3:20-cv-01163-  
WHA); (Related to Case No. 3:20-cv-02823-  
WHA; 3:22-mc-80051-WHA)

**LEAD PLAINTIFFS' TRANSMITTAL  
OF APRIL 21, 2023 DECLARATION OF  
STEPHANIE AMIN-GIWNER IN  
RESPONSE TO THE COURT'S ORDER  
RE INCOMPLETE EXHIBITS**

1 TO THE COURT, ALL PARTIES, AND THEIR COUNSEL OF RECORD:

2 Attached hereto as Exhibit A is an April 21, 2023 Declaration of Stephanie Amin-Giwner in  
3 Response to the Court's Order Re Incomplete Exhibits (the "4/21/23 Amin-Giwner Decl."). The  
4 order referenced is ECF No. 288.

5 The 4/21/23 Amin-Giwner Decl. appends, as Exhibit 1, a corrected version of the April 3,  
6 2023 Declaration of Stephanie Amin-Giwner in Response to the Court's March 30, 2023 Request  
7 and exhibits, originally filed as ECF No. 279-1 (the "4/3/23 Amin-Giwner Decl."), and as Exhibit 2,  
8 a redline prepared by Epiq to demonstrate the edits made to the 4/3/23 Amin-Giwner Decl., as well  
9 as Exhibits 3-5, as described in the 4/21/23 Amin-Giwner Decl.

10 Separately, Lead Counsel will file a declaration to provide the Court with responses Lead  
11 Counsel has a record of receiving, through 7:00 p.m. PST on April 20, 2023, to the April 5, 2023  
12 letter to the brokers that the Court directed be sent during the March 30, 2023 Settlement Fairness  
13 Hearing.

14  
15 DATED: April 21, 2023

Respectfully submitted,

**KAPLAN FOX & KILSHEIMER LLP**

17 By: /s/ Jeffrey P. Campisi  
Jeffrey P. Campisi

18 Robert N. Kaplan (admitted *pro hac vice*)  
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# EXHIBIT A

**KAPLAN FOX & KILSHEIMER LLP**

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01163-WHA)

(Related to Case No. 3:20-cv-02823-WHA;  
3:22-mc-80051-WHA)

**DECLARATION OF STEPHANIE  
AMIN-GIWNER IN RESPONSE TO THE  
COURT'S ORDER RE INCOMPLETE  
EXHIBITS**

1 I, Stephanie Amin-Giwner, declare as follows:

2 1. I am a Director, Client Services for Epiq Class Action and Claims Solutions, Inc. (“Epiq”).  
3 I submit this declaration in response to the Court’s April 18, 2023 Order re Incomplete Exhibits providing  
4 that “counsel shall provide any further missing exhibit pages that shed light on this issue or a further  
5 declaration by Director Amin-Giwner explaining how she knows the specific facts described in her  
6 declaration that appear to be unsupported.” ECF No. 288 (1:22-24).

7 2. In response to the Court’s direction at the Thursday, March 30, 2023 Settlement Fairness  
8 Hearing, and an order issued in ECF No. 276 on the afternoon of March 30, 2023, on Monday, April 3,  
9 2023, by noon PST, Lead Counsel filed my declaration with the Court providing further information  
10 regarding the date each broker dealer responded to Epiq’s notice of settlement, follow up date, date  
11 packets mailed, and further details. ECF No. 279-1 (hereinafter referred to as the “4/3/23 Declaration”).

12 3. The 4/3/23 Declaration contained references to 32 exhibits (Exhibits A through FF).  
13 Unfortunately, certain exhibits were inadvertently omitted or were incomplete or had an incorrect cover  
14 page. I apologize for any inconvenience that this caused the Court.

15 4. Accordingly, I have prepared a corrected declaration with complete and accurate exhibits  
16 with corrected cover sheets.

17 5. Attached hereto as Exhibit 1 is the corrected declaration (hereinafter referred to as the  
18 “Corrected 4/3/23 Declaration”).

19 6. For the Court’s convenience, attached hereto as Exhibit 2 is the corrected declaration only  
20 in redline format showing what I understand to be all corrections made to my 4/3/23 Declaration.

21 **I. UPDATES REGARDING NOTICE AND FOLLOW-UP WITH BROADRIDGE US**

22 7. In the Corrected 4/3/23 Declaration at paragraph 18(g) (14:12-16), I stated that “On  
23 January 20, 2023, Broadridge confirmed that it had mailed the Settlement Notice on December 9 and 12,  
24 2022 and that Broadridge had requested more than 2,000 blank notices than needed” and referenced  
25 Exhibit P. However, the email that was referenced was inadvertently omitted from Exhibit P. Exhibit P  
26 (which has parts P-1 and P-2) as submitted with the Corrected 4/3/23 Declaration has been updated to  
27 include this email. I have also attached the complete exhibit P (including parts P-1 and P-2) hereto as  
28

1 Exhibit 3. I have left the slipsheets showing the “lettered” exhibits to my Corrected 4/3/23 Declaration  
2 for ease of cross-referencing.

3 8. In an email on January 20, 2023, Denise Macejko at Broadridge states, “Hi Grant, Job  
4 N80161 completed on 12/9 and jobs N79471 and N79472 completed on 12/12/22.” *See* Exhibit 3 at  
5 page 1 of Ex. P-2. This e-mail was in response to the e-mail from Grant Lambert at Epiq on January 20,  
6 2023, seeking confirmation as to when Broadridge mailed the 45,352 notices on behalf of their clients  
7 included in their original request as well as an additional set distributed to Morgan Stanley (050) which  
8 was not included as a client they serviced in their original request. *See* Exhibit 3 at page 1 of Ex. P-2. In  
9 addition, in an email on January 18, 2023, Macejko states, “We disseminated a total of 45,352 notices....”  
10 Exhibit 3 at pages 1-2 of Ex. P-2. Broadridge had originally requested 47,780 notices (Exhibit 3 at page 3  
11 of Ex. P-2), which is 2,428 more notices than they confirmed mailing (Exhibit 3 at page 1 of Ex. P-2).  
12 This email exchange supports the statement in my declaration that, “...Broadridge had requested more  
13 than 2,000 blank notices than needed, Exhibit P”. (Corrected 4/3/23 Declaration 14:12-16).

14 9. On April 13, 2023, in response to the April 5, 2023, Broker Letter (“Broker Letter”) that  
15 Lead Counsel caused Epiq to mail to all broker dealers and nominees (on what we refer to as the Epiq  
16 Nominee List) originally noticed by Epiq on October 28, 2022. Stephanie Caracciolo at Broadridge e-  
17 mailed a letter responding to the Broker Letter. I understand that Lead Counsel is separately filing an  
18 update on the Broker Letter and responses received through 7:00 p.m. PST on April 20, 2023.

19 10. Attached as Exhibit 4 hereto is a true and correct copy of this letter (hereinafter referred  
20 to as the “4/13/23 Broadridge Letter”).

21 11. The 4/13/23 Broadridge Letter provides additional information regarding its mailings in  
22 response to the Settlement Notice of which I was unaware as of April 3, 2023. Specifically, the 4/13/23  
23 Broadridge Letter states that “[w]e responded to Epiq requesting 47,780 claim packets in aggregate on  
24 November 23, 2023: this represented customers of twenty-nine brokers.” *See* Exhibit 4 at 1 (Answer to  
25 Question number 2). While Broadridge requested 47,780 claim packets on November 23, 2022,  
26 Broadridge’s email notes that Morgan Stanley (050) had not responded yet to Broadridge’s notice to its  
27  
28

underlying clients. Exhibit 3 at page 3 of Ex. P-2. In the 4/13/23 Broadridge Letter (exhibit 4 at page 2), Caracciolo states that the additional file from “N81490”, which I understand to be Morgan Stanley based on Macejko’s statement on November 23, 2022 that Morgan Stanley had not yet responded to Broadridge (see Exhibit 3 at page 3 of Ex. P-2.) was received by Broadridge on December 16, 2022, and that Broadridge subsequently completed its mailing to the customers of N81490 on December 21, 2022, without the need to request more Settlement Notice Packets from Epiq. See Exhibit 4 at 2. Notably, the January 18, 2023 email from Macejko does not mention the mailing on December 21, 2022. See Exhibit 3 at page 1 of Ex. P-2.

## II. UPDATES REGARDING NOTICE AND FOLLOW-UP WITH GOLDMAN SACHS

12. In the Corrected 4/3/23 Declaration at paragraph 21(i)(18:6-7), I stated that “Muchnik then responded that Goldman mailed to 246 addresses on January 18, 2023” and referenced Exhibit Y. However, the email that was referenced was inadvertently omitted from Exhibit Y. Exhibit Y to the Corrected 4/3/23 Declaration has been updated to include this email. I have also attached the complete email chain as Exhibit 5 hereto.

13. In an email on February 2, 2023, Alexander Muchnik at Goldman Sachs confirmed that Goldman “mailed to 246 addresses on 1/18/23.” See Exhibit 5 at 1. This email was in response to the email from Grant Lambert at Epiq on February 2, 2023, requesting that Muchnik provide the number of notices mailed and the date they were sent out. Exhibit 5 at 1-2.

## III. ADDITIONAL CORRECTIONS TO THE 4/3/23 DECLARATION

14. Set for the below are additional corrections made to the 4/3/23 Declaration:

- Paragraph 9 of the 4/3/23 Declaration has been updated to include citations to the responses to the Original Class Notice provided by the brokers referenced in the paragraph. See Corrected 4/3/23 Declaration at 4:10-5:14. These responses are attached to the Corrected 4/3/23 Declaration as Exhibit GG. In addition, please note that BNYMellon/BNYMellon Pershing only responded once to the Original Class Notice, but was listed twice in the 4/3/23 Declaration, which has now been corrected.



- Paragraph 15 of the Corrected 4/3/23 Declaration has been updated in the Corrected Declaration now to include pinpoint citations to the specific emails referenced. *See* Corrected 4/3/23 Declaration at 6:11-21.
- Footnotes have been added to indicate where an attachment was provided to Epiq but is not attached to the Corrected 4/3/23 Declaration in order to protect any personally identifying information that is contained in those attachments.
- Pinpoint cites have been added to citations to lengthy exhibits.
- Exhibit I-1 and I-2 to the Corrected 4/3/23 Declaration are emails from Julie Gilmore at StoneX Financial, Inc. referenced at paragraph 16(h) (10:23-11:1) of the Corrected 4/3/23 Declaration.
- Exhibit J to the Corrected 4/3/23 Declaration is the email from Kelli M. Dixon at Northwestern Mutual referenced in paragraph 18(a) (8:20-9:3) of the Corrected 4/3/23 Declaration.
- Exhibit L to the Corrected 4/3/23 Declaration is the email from Michael Smith at BancWest Investment Services referenced made in paragraph 18(c) (11:19-20) of the Corrected 4/3/23 Declaration.
- Exhibit M to the Corrected 4/3/23 Declaration is the email from Nina Vincent at Stephens, Inc. referenced in paragraph 18(d) (12:3-10) of the Corrected 4/3/23 Declaration.
- Exhibit N to the Corrected 4/3/23 Declaration is the email from Molly McAllister at Kessler Topaz Metzler & Check LLP referenced in paragraph 18(e) (12:3-13) of the Corrected 4/3/23 Declaration.
- Exhibit O to the Corrected 4/3/23 Declaration is the email from Neelam Somaiah at RBC Dominion Securities, Inc. referenced in paragraph 18(f) (10:11-17) of the Corrected 4/3/23 Declaration.

- Paragraphs 19 and 20-of the Corrected 4/3/23 Declaration has been updated to include further details regarding how Epiq determined with which brokers/nominees it would follow up after receiving no response to its October 28, 2022, Settlement Notice mailing.

I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

Executed this 21st day of April 2023 at Massapequa Park, New York.

*Stephanie Amin-Giwner*  
Stephanie Amin-Giwner

# EXHIBIT 1

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behalf of themselves and a class of similarly  
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**DECLARATION OF STEPHANIE  
AMIN-GIWNER IN RESPONSE TO THE  
COURT'S REQUEST AT THE MARCH  
30, 2023 HEARING**

1 I, Stephanie Amin-Giwner, declare as follows:

2 1. I am a Director, Client Services for Epiq Class Action and Claims Solutions, Inc. (“Epiq”).  
3 I submit this declaration in response to the Court’s request at the March 30, 2023 hearing (“Settlement  
4 Fairness Hearing”), for additional information as set out in ECF No. 276. The following statements are  
5 based on my personal knowledge and information provided by other Epiq employees working under my  
6 supervision, and if called on to do so, I could and would testify competently thereto.<sup>1</sup>

7 2. In advance of the Settlement Fairness Hearing, Epiq provided four declarations to the  
8 Court concerning our work in connection with the Settlement. Those four Settlement related declarations  
9 include the following: ECF No. 248-4 (the “9/2/22 Amin-Giwner Preliminary Approval Decl.”); ECF  
10 No. 262-8 (the “2/2/23 Mahn Decl.”); ECF No. 269-1 (the “3/23/23 Supplemental Mahn Decl.”) and  
11 ECF No. 273-1 (the “3/29/23 Amin-Giwner Decl.”). A fifth declaration (an affidavit) was provided in  
12 connection with the Original Class Notice, and is ECF No. 244-1 (the “Webb Original Class Notice  
13 Affidavit”).

14 3. In ECF No. 276, the Court directed me “to submit to the Court the date each broker dealer  
15 responded to Epiq’s notice of settlement, follow up date, date packets mailed, and further details as stated  
16 on the record . . . .” During the Settlement Fairness Hearing, the Court directed Epiq as follows according  
17 to the transcript of the March 30, 2023 hearing at page 29, lines 7-24:

18 THE COURT: Here’s what I would like for you to do, please. I’d like for you to give me the  
19 date that each of these broker-dealers responded to you, to either give you the names and  
20 addresses or to say they would send out the packets, themselves; what date you received that;  
21 what date you followed up; and what date you actually mailed any followup packets. For  
22 example, you did give me the Axos Clearing. But you didn’t have that information for the others.

23 I would like to know the name of the person that you sent these to, at each of these broker-dealers.

24  
25 <sup>1</sup> Capitalized terms that are not otherwise defined herein shall have the same meaning as set forth in  
26 the Stipulation and Agreement of Settlement dated September 2, 2022 (the “Stipulation” or  
27 “Settlement”) (ECF No. 247). Unless otherwise noted, all emphasis is added, and all internal  
28 citations and quotation marks are omitted.

MS. AMIN-GIWNER: Your Honor, do you mean on October 28th, to whom the notice packet was addressed?

THE COURT: Well, really, say -- yes. I do.

MS. AMIN-GIWNER: All right.

THE COURT: But, the name, and then if there was further communications I'd like to know who's involved in these communications with the broker-dealers.

**I. EPIQ MAILS SETTLEMENT NOTICE PACKETS ON THE NOTICE DATE TO ALL POTENTIAL CLASS MEMBERS AND THEIR NOMINEES FOR WHOM IT HAD ADDRESSES AND ALSO TO ITS INTERNAL LIST OF BROKERS AND OTHER NOMINEES**

4. On October 28, 2022, Epiq disseminated the Settlement Notice Packet to potential Class Members and nominees by first class U.S. Mail and by e-mail<sup>2</sup> as follows:

- Epiq mailed 79,684 copies of the Settlement Notice Packet and e-mailed 191 Settlement Notice Packets for a total of 79,773 unique potential Class Members whose names and addresses were obtained in connection with the dissemination of the Original Class Notice in May 2022.
- Epiq mailed the Settlement Notice Packet to 1,046 mailing records contained in its internal, proprietary list of brokers, banks, custodians, financial institutions, third party filers, law firms and nominees (the "Epiq Nominee List"). A copy of Epiq's Nominee List is attached as Exhibit A hereto. Along with the Settlement Notice Packet to the Epiq Nominee List, Epiq included a cover letter with directions for the nominees (referred to herein as the "Cover Letter"). A copy of the Cover Letter is attached as Exhibit B hereto.

---

<sup>2</sup> Epiq maintains an e-mail address and inbox (info@geronsecuritieslitigation.com) dedicated to this case for all case related e-mails that go out to nominees and potential class members and claimants. The Project Management team dedicated to this case along with myself and Grant Lambert who is a Project Director all have access to this inbox and can both send and receive e-mails related to this case from that e-mail address.

5. The Epiq Nominee List includes the largest and most common broker firms, banks, and other institutions involving publicly-traded securities. This list is contained in a database created and maintained by Epiq and represents a significant majority of the beneficial holders of the securities in most settlements involving publicly traded companies. In Epiq's experience, upon receipt of the Settlement Notice Packet and Cover Letter, the brokers/nominees will review their own internal records and determine if they or the beneficial owners whom they represent transacted in Geron common stock. Not all brokers/nominees included in the Epiq Nominee List will have clients who transacted in Geron common stock, and if they do not, no response to the notice is required.

6. Set forth below are the details regarding each broker/nominee who responded to the Settlement Notice Packet sent by Epiq, including the date of response, whether they chose to request notice packets be sent to them, or that Epiq send notice to their clients, as well as the dates and substance of any follow up. The remaining brokers/nominees included in Epiq's Nominee List did not respond to the October 28, 2022 mailing. As described in more detail in the Declaration of Alison Wisniewski in Support of Administrative Motion to Seal, Epiq considers the entirety of its Nominee List to be confidential and proprietary. Including the complete list in a publicly filed document, such as this Declaration, would require Epiq to disclose competitive business intelligence that will negatively impact Epiq. However, to the extent that the Court's request also requires that Epiq provide its Nominee List in its entirety, including those nominees who did not respond to the Notice, Epiq respectfully requests it be allowed to file the entire list under seal, as Epiq's Nominee List is confidential and proprietary information. Epiq's Nominee List is attached hereto as Exhibit A.

**II. THE SETTLEMENT NOTICE PROVIDED INSTRUCTIONS FOR NOMINEES TO FOLLOW WITHIN SEVEN (7) CALENDAR DAYS OF RECEIPT OF THE SETTLEMENT NOTICE PACKET THAT EPIQ MAILED ON THE NOTICE DATE, WITH A CUT-OFF OF NOVEMBER 30, 2022 FOR COMPLIANCE**

7. After the initial mailings described above in Section I, undertaken on the Notice Date, a procedure was set forth in the Settlement Notice directed by the Court for nominees receiving the Notice

1 Date mailing (as opposed to the potential Class Member) to contact Epiq for further steps to disseminate  
2 the Settlement Notice Packets.

3 8. Specifically, the Cover Letter and Settlement Notice Packet sent to nominees on October  
4 28, 2022 directed the nominees, within seven (7) calendar days of receipt of the Settlement Notice Packet,  
5 to either (a) provide Epiq with a list of the names and last known addresses of all beneficial owners or  
6 (b) request from Epiq sufficient copies of the Settlement Notice Packet to forward to all beneficial owners  
7 and, within seven (7) calendar days of receipt of those copies and no later than November 30, 2022, mail  
8 the Settlement Notice Packet to all beneficial owners. Exhibit B attached hereto; *see also* ECF No. 262-  
9 8 (2/2/23 Mahn Decl.) at ¶14. *See also* ECF 262-5 (Settlement Notice) at ¶¶94-97.

10 9. Attached as Exhibit GG hereto are true and correct copies of the responses to the Original  
11 Class Notice from the following brokers/nominees that provided names and addresses of potential Class  
12 Members: Cathy Prince at Pacific Premier Trust (formerly First Trust) emailed the dedicated case e-mail  
13 inbox (info@geronsecuritieslitigation.com) (Ex. GG at 1); Bonnie Allen at Hilltop Securities emailed  
14 the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 2-3); Vera Graham at  
15 Crews and Associates emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com)  
16 (Ex. GG at 4-5); Zandra Rawlins-Adens at The Penn Mutual Life Insurance Company emailed the  
17 dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 6); Julie Gilmore at StoneX  
18 Financial, Inc. emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at  
19 7)<sup>3</sup>; Jesse Sprouse at Truist Investment Services, Inc. emailed the dedicated case e-mail inbox  
20 (info@geronsecuritieslitigation.com) (Ex. GG at 8); Daryll Baxter at Fidelity Investments emailed the  
21 dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 9); Alice Hemphill at  
22 Cetera Financial Group emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com)  
23 (Ex. GG at 10-11); Rebecca Summers at Bank of New York Mellon emailed the dedicated case e-mail  
24 inbox (info@geronsecuritieslitigation.com) and Grant Lambert of Epiq (Ex. GG at 12-13); Jane Flood,  
25

26 <sup>3</sup> Please note that according to Epiq's information, StoneX Financial is the new name for an entity Epiq has previously  
27 listed in its records as "INTL FCStone Financial Inc." or "International FCStone Financial Inc."



whom I know to be from UBS Securities LLC, emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 14); Radhakrishna Putcha at Broadridge Financial Solutions, Inc. (India) emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 15); Joleen Schutz at Piper Sandler & Co. (formerly Piper Jaffray) emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 16-18); Jen Curtin at Charles Schwab & Co. emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 19); and Joe Alberico at Research Capital Corporation emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 20). Please note that the attachments to these emails are not included in Exhibit GG as they contain personally identifiable information of potential Class Members. The directions in the Cover Letter directed these brokers/nominees that they did not need to provide any additional information, unless the brokers/nominees purchased Geron common stock during the Class Period for beneficial owners whose names and addresses were not previously provided to the Claims Administrator, or if such brokers/nominees were aware of a name or address change of one of its beneficial owners (*i.e.* as to whom they had provided any address previously) . *See* Exhibit B at 1.

10. On the Notice Date, the Cover Letter instructions to brokers and nominees were posted on the website [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). Set forth below are the details of Epiq's interaction with brokers/nominees who either contacted Epiq to provide names and address of potential Class Members or request Settlement Notice Packets and brokers/nominees who Epiq attempted to contact because they failed to respond to the initial Notice Date mailing of Settlement Notice Packets.

### **III. EPIQ TAKES STEPS AFTER NOTICE DATE TO CORRECT MAILING ADDRESSES RECEIVED FROM BROKERS OR NOMINEES AS PART OF ROUTINE PROCESSING OF UNDELIVERABLE PACKETS**

11. In addition to the specific instructions to brokers/nominees in the Cover Letter, Settlement Notice and on the website, Epiq took additional steps shortly after the Notice Date to process what appeared to be a group of incorrect address information provided by eight (8) brokers/nominees from the Original Class Notice.

12. Specifically, shortly after the Notice Date, Epiq advised Class Counsel of a number of undeliverable addresses from the Original Class Notice that Epiq received from nominees and therefore had used for mailings on the Notice Date.

13. Class Counsel asked Epiq to send an e-mail, which Epiq sent on November 4, 2022, to the brokers/nominees associated with these undeliverable addresses that appeared linked to incorrect addresses, requesting that these brokers/nominees check the address information for potential Class Members previously provided to Epiq and respond by, November 10, 2022, in writing.

14. Attached hereto as Exhibit C are those e-mails, sent by Grant Lambert, Project Director at Epiq to the nominees/brokers and at the e-mail addresses indicated on the e-mails. These e-mails were also submitted previously to the Court as Exhibit D to the 2/2/23 Mahn Decl. (ECF No. 262-8).

15. Specifically, on November 4, 2022, e-mails concerning the incorrect address information were sent by Lambert from the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) to the following persons at the eight entities listed below:

- a. Daryll Baxter at Fidelity Investments (Ex. C at 1-2);
- b. Vera Graham at Crews and Associates (Ex. C at 3-4);
- c. Bonnie Allen at Hilltop Securities, Inc. (Ex. C at 5-6);
- d. Joe Alberico at Research Capital (Ex. C at 7-8);
- e. Jen Curtin at Charles Schwab & Co. (Ex. C at 9-10);
- f. Radhakrishna Putcha at Broadridge Financial Solutions, Inc. (India) (Ex. C at 11-12);
- g. Rebecca Summers at BNYMellon (Ex. C at 13-14);
- h. Julie Gilmore at Stonex Financial Inc (Ex. C at 15-16).

16. The following summarizes the responses (or non-responses) of these brokers/nominees to the November 4, 2022 outreach set forth in Exhibit C. In response to this outreach, Epiq collectively obtained 6,428 corrected address records, to which Epiq then re-mailed the Settlement Notice Packets on the dates in November 2022 listed below:

- 1 a. On November 7, 2022, Daryll Baxter (email address Daryll.Baxter@fmr.com) from  
2 Fidelity Investments (or Fidelity Institutional as stated on Mr. Baxter's email) advised  
3 Grant Lambert from Epiq, via an e-mail response to the dedicated case e-mail inbox  
4 (info@geronsecuritieslitigation.com), that it sent Epiq the only data that it had  
5 available in its files and did not have new or different contact information. *See* Exhibit  
6 D at 1 attached hereto. Fidelity Investments had 124 undeliverable addresses from the  
7 Original Class Notice phase. As a result of the additional work performed by Epiq as  
8 described in paragraph 17 below, Epiq obtained a total of 10 updated addresses from  
9 the USPS and TransUnion research, to which Epiq promptly mailed a Settlement  
10 Notice Packet.
- 11 b. On November 7, 2022, Vera Graham from Crews & Associates, Inc. provided Grant  
12 Lambert from Epiq via an e-mail response to the dedicated case e-mail inbox  
13 (info@geronsecuritieslitigation.com) with updated addresses for two potential Class  
14 Members. *See* Exhibit E at 1 attached hereto.<sup>4</sup> On November 14, 2022, Epiq mailed  
15 Settlement Notice Packets to these two potential Class Members, which have not been  
16 returned to Epiq as undeliverable.
- 17 c. On November 7, 2022, Bonnie Allen from Hilltop Securities Inc. provided updated  
18 addresses for 323 potential Class Members to Grant Lambert from Epiq via an e-mail  
19 response to the dedicated case e-mail inbox ([info@geronsecuritieslitigation.com](mailto:info@geronsecuritieslitigation.com)). *See*  
20 Exhibit F at 1 attached hereto.<sup>5</sup> On November 15, 2022, Epiq mailed Settlement  
21 Notice Packets to these 323 potential Class Members. Of these 323 addresses, 172  
22 were returned as undeliverable. As a result of the additional work performed by Epiq  
23 as described in paragraph 17 below, Epiq obtained a total of 7 updated addresses from

24 <sup>4</sup> I have reviewed the attachment and it contains two records. The attachment to the original e-mail is not included in  
25 this Exhibit as it contains personally identifiable information of potential Class Members.

26 <sup>5</sup> I have reviewed the attachment and it contains 323 records. The attachment to the original e-mail is not included in  
27 this Exhibit as it contains personally identifiable information of potential Class Members.

1 the USPS and TransUnion research, to which Epiq promptly mailed a Settlement  
2 Notice Packet. These seven Settlement Notice Packets have not been returned to Epiq  
3 as undeliverable.

4 d. Research Capital had one undeliverable address from the Original Class Notice phase  
5 and did not respond to the November 4, 2022 email. Despite the additional address  
6 research efforts described at paragraph 17 below, Epiq was unable to locate an updated  
7 address for this potential Class Member.

8 e. On November 7, 2022, Grant Lambert from Epiq again followed up with Jen Curtin  
9 from Charles Schwab & Co. (*i.e.* another email in addition to the one set forth in  
10 Exhibit C at 9-10) because, due to a data defect issue with the file provided by Schwab  
11 in connection with the Original Class notice, 5,470 Settlement Notice Packets had  
12 been returned to Epiq as undeliverable. Attached hereto as Exhibit G is a true and  
13 correct copy of the full e-mail chain between Mr. Lambert and Ms. Curtin.<sup>6</sup> After  
14 multiple e-mails between Lambert and Curtin, on November 21, 2022, Jen Curtin at  
15 Charles Schwab & Co. provided updated addresses for 6,103 potential Class  
16 Members. *See* Exhibit G, at 1. On November 25, 2022, Epiq mailed Settlement Notice  
17 Packets to these 6,103 potential Class Members. As of January 31, 2023, 116 of the  
18 6,103 Settlement Notice Packets mailed on November 25, 2022 were returned to Epiq  
19 as undeliverable. As a result of the additional work performed by Epiq as described  
20 in paragraph 17 below, Epiq obtained a total of 33 updated addresses from the USPS  
21 and TransUnion research, to which Epiq promptly mailed a Settlement Notice Packet.  
22 These 33 Settlement Notice Packets have not been returned to Epiq as undeliverable.

23 f. In a series of emails, the last of which appears to be dated January 13, 2023,  
24 Radhakrishna Putcha from Broadridge Financial Solutions, Inc. (India) responded to  
25

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26 <sup>6</sup> I have reviewed the attachment and it contains 6,103 records. The attachments to the original e-mails in the chain are  
27 not included in this Exhibit as they contain personally identifiable information of potential Class Members.

Grant Lambert from Epiq and ultimately provided email addresses for 5,722 records Broadridge Financial Solutions, Inc. (India) had provided on behalf of APEX Clearing during the Original Class Notice phase. *See* Exhibit H attached hereto.<sup>7</sup> On January 20, 2023, Epiq sent Settlement Notice Packets to the 5,722 e-mail addresses provided by Broadridge. As of January 31, 2023, 230 e-mails from the 5,722 were rejected or undeliverable. Of the 230 undeliverable e-mails, Epiq obtained 35 updated mailing addresses through TransUnion research, to which Epiq promptly mailed a Settlement Notice Packet. These 35 Settlement Notice Packets have not been returned to Epiq as undeliverable.

- g. Rebecca Summers at Bank of New York Mellon did not respond to the November 4, 2022 e-mail from Grant Lambert. As a result of the additional work performed by Epiq as described in paragraph 17 below, of the 85 undeliverable Settlement Packets mailed to addresses Bank of New York Mellon provided in connection with the Original Class Notice, Epiq obtained a total of 10 updated addresses from the USPS and TransUnion research, to which Epiq promptly mailed a Settlement Notice Packet. These 10 Settlement Notice Packets have not been returned to Epiq as undeliverable.
- h. On November 2, 2022, Julie Gilmore from StoneX Financial Inc., emailed the dedicated case email inbox (info@geronsecuritieslitigation.com) and stated that there was “no change from the list of names and addresses sent back on June 2, 2022” and attached the same list of names and addresses. *See* Exhibit I-1 attached hereto.<sup>8</sup> In addition, in response to the December 16, 2022, outreach conducted by Susanna

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<sup>7</sup> I have reviewed the attachment and it contains 5,722 email addresses. The attachments to the original e-mails in the chain are not included in this Exhibit as they contain personally identifiable information of potential Class Members. Based on Epiq’s internal records, as noted above, these e-mails were provided by Broadridge Financial Solutions, Inc. (India) on behalf of APEX Clearing, although that fact is not explicitly stated in the e-mails contained in Exhibit H.

<sup>8</sup> I have reviewed the attachments and they contain 30 records. The attachments to the original e-mails are not included in this Exhibit as they contain personally identifiable information of potential Class Members.

Webb, Project Manager at Epiq (*see* ¶20 below), Gilmore responded that she had provided names and addresses on November 2, 2022. *See* Exhibit I-2 attached hereto.<sup>9</sup>

17. As of March 31, 2023, a total of 7,462 Settlement Notice Packets that Epiq mailed have been returned as undeliverable to Epiq. Epiq has promptly re-mailed any Settlement Notice Packet where an updated address has been provided to Epiq by the US Postal Service (USPS). 2/2/23 Mahn Decl., ¶¶20-21; 3/23/23 Supplemental Mahn Decl., ¶¶7-11. As of March 31, 2023, Epiq has re-mailed a total of 190 Settlement Notice Packets to potential Class Members for whom an updated address was provided by USPS. Epiq searched TransUnion's databases for updated addresses for Settlement Notice Packets that have been returned as undeliverable. Updated addresses were obtained for 188 potential Class Members and Settlement Packets were mailed by Epiq to the updated addresses.

#### IV. EPIQ RECEIVES THE FOLLOWING ADDITIONAL POTENTIAL CLASS MEMBER CONTACT INFORMATION IN RESPONSE TO SETTLEMENT NOTICE

18. As discussed during the March 30, 2023, Settlement Fairness Hearing, in response to the dissemination of the Settlement Notice Packet on the Notice Date (October 28, 2022), Epiq received a total of 3,996 additional names and address of potential Class Members from brokerage firms, banks, institutions and other nominees including the ones listed below:

- a. **Northwestern Mutual Investment Services LLC ("Northwestern Mutual"):** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to Northwestern Mutual Investment Services LLC, 720 E Wisconsin Ave., Milwaukee, WI 53202-4703. On November 3, 2022, Kelli M. Dixon, Legal Administrative Assistant at Northwestern Mutual, responded by e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and provided the names and addresses of

<sup>9</sup> Please note that Epiq addressed its December 16, 2022 e-mail to "INTL FCStone Financial Inc, which is the former name of StoneX Financial Inc.

4 potential Class Members. *See* Exhibit J attached.<sup>10</sup> On November 9, 2022, Epiq mailed Settlement Notice Packets to these 4 potential Class Members. One of these mailings was returned as undeliverable and no updated address was obtained through USPS or Transunion.

b. **BNY Mellon Pershing:** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to Pershing LLC, ATTN: Legal Department, One Pershing Plaza, 10<sup>th</sup> Floor, Jersey City, NJ 07399. On November 3, 2022, Lillian Marrero from BNY Mellon Pershing provided the names and address for 3,342 potential Class Members to Grant Lambert at Epiq via e-mail. *See* Exhibit K attached hereto.<sup>11</sup> On November 9, 2022, Epiq mailed Settlement Notice Packets to these 3,342 potential Class Members. Of the 3,342, Settlement Notice Packets mailed, 108 were returned to Epiq as undeliverable. Of the 108 undeliverable Settlement Notice Packets, 7 were re-mailed to an updated address provided by USPS and 3 were mailed to an updated address provided by TransUnion.

c. **BancWest Investment Services:** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to BancWest Investment Services, 13505 California St., Omaha NE 68145-5247. On November 4, 2022, Michael Smith, BWIS Operational Risk Analyst Officer at BancWest Investment Services, responded by e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and provided the name and address of 1 potential Class Member. *See* Exhibit L attached

<sup>10</sup> I have reviewed the attachments and they contain four records. The attachments to the original e-mail are not included in this Exhibit as they contain personally identifiable information of potential Class Members.

<sup>11</sup> I have reviewed the attachment and it contains 3,342 records. The attachment to the original e-mail is not included in this Exhibit as it contains personally identifiable information of potential Class Members.



hereto.<sup>12</sup> On November 10, 2022, Epiq mailed a Settlement Notice Packet to the 1  
potential Class Member that has not been returned to Epiq as undeliverable.

d. **Stephens Inc.:** On October 28, 2022, Epiq mailed the Settlement Notice Packet and  
Cover Letter to Stephens Inc., 111 Center St., Suite 200, Little Rock, Arkansas 72201-  
4425. On November 14, 2022, Nina Vincent, Assistant Compliance “Officer/Internal  
Auditor at Stephens, Inc., responded by e-mail to the dedicated case e-mail inbox  
(info@geronsecuritieslitigation.com) and provided the name and address of one  
potential Class Member. *See* Exhibit M attached hereto.<sup>13</sup> On November 21, 2022,  
Epiq mailed a Settlement Notice Packet to the one potential Class Member which, has  
not been returned to Epiq as undeliverable.

e. **Kessler Topaz Metzler & Check LLP:** On October 28, 2022, Epiq mailed the  
Settlement Notice Packet and Cover Letter to Kessler Topaz Metzler & Check LLP at  
280 King of Prussia Rd., Radnor, PA 19087-5110. On November 18, 2022, Molly  
McAllister, Personal Communications & Claim Specialist at Kessler Topaz Metzler  
& Check LLP, responded by e-mail to the dedicated case e-mail inbox  
(info@geronsecuritieslitigation.com) and provided the names and addresses for 349  
potential Class Members. *See* Exhibit N attached hereto.<sup>14</sup> On November 25, 2022,  
Epiq mailed Settlement Notice Packets to these 349 potential Class Members. Of the  
349 Settlement Notice Packets mailed, 48 were returned to Epiq as undeliverable. Of  
the 48 undeliverable Settlement Notice Packets, 5 were re-mailed to an updated

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<sup>12</sup> I have reviewed the attachment and it contains one record. The attachment to the original e-mail is not included in this Exhibit as it contains personally identifiable information of a potential Class Member.

<sup>13</sup> I have reviewed the attachment and it contains one record. The attachment to the original e-mail is not included in this Exhibit as it contains personally identifiable information of potential Class Members.

<sup>14</sup> I have reviewed the attachments and it contains 349 records. The attachment to the original e-mail is not included in this Exhibit as it contains personally identifiable information of potential Class Members.



address provided by USPS and 1 was mailed to an updated address provided by TransUnion.

f. **Royal Bank of Canada (RBC):** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to Deborah Nicholas, Shareholder Services Department, RBC Dominion Securities Inc., 180 Wellington Street West, 9<sup>th</sup> Floor, Toronto, ON M5J0C2. On November 21, 2022, Neelam Somaiah from RBC Dominion Securities Inc. provided the names and addresses for 186 potential Class Members to Epiq via the uploader tool on the settlement website<sup>15</sup>. *See* Exhibit O attached hereto. On November 29, 2022, Epiq mailed Settlement Notice Packets to these 186 potential Class Members. Of the 186 Settlement Notice Packets mailed, 5 were returned to Epiq as undeliverable and no updated addresses were obtained from USPS or TransUnion.

g. **Broadridge Financial Solutions, Inc. (“Broadridge US”):** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to Broadridge, 51 Mercedes Way, Edgewood, NY 11717-8368. Epiq also e-mailed a courtesy copy of the Settlement Notice Packet to Broadridge US at [classactionmailingservice@broadridge.com](mailto:classactionmailingservice@broadridge.com) on October 28, 2022 at 4:16 p.m. Pacific Time. *See* Exhibit P-1 attached hereto. On November 23, 2022, Denise Macejko, Senior Client Project Administrator from Broadridge e-mailed Epiq via the dedicated case e-mail inbox ([info@geronsecuritieslitigation.com](mailto:info@geronsecuritieslitigation.com)) to request 47,780 sets of the Settlement Notice Packets, indicating that the clients of Broadridge to be “serviced” with the notices were: BMO Nesbitt Burns, Wells Fargo Securities, Morgan Stanley WM, Wedbush Securities (103 Entity), Wells Fargo Clearing, Nomura, TD Ameritrade, RBC, U.S. Bancorp, Stifel, J.P. Morgan Securities, D.A. Davidson & Co., Edward Jones, E\*Trade, R.W. Baird, Raymond James, National Financial Services,

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<sup>15</sup> I have access to the case database and have reviewed the upload of this file and confirm that it contains 186 records.

LPL Financial, Barclays, Vanguard, Ameriprise, Scotiabank, Banque Scotia, Vision Financial, Tradestation, Muriel, Siebert & Co., Deutsche Bank and Merrill Lynch. A true and correct copy of this email is attached as Exhibit P-2 hereto and includes a series of further emails discussed herein. Epiq's records show that by December 9, 2022, Epiq had mailed all 47,780 Settlement Notice Packets to Broadridge. On January 17, 2023, at the request of Class Counsel, Lambert emailed Macejko to confirm the number of Settlement Notice Packets that Broadridge mailed out. *See* Exhibit P-2 at 2. On January 18, 2023, Lambert received a responsive e-mail stating that 45,532 had been mailed to the clients listed above, and in addition, including Morgan Stanley (050). *See* Exhibit P-2 at 1-2. Macejko informed Lambert that Broadridge declined to provide the names of the actual list of shareholder names to whom the notices were mailed. *See* Exhibit P-2 at 2. On January 20, 2023, Broadridge confirmed that it had mailed the Settlement Notice on December 9 and 12, 2022. *See* Exhibit P-2 at 1. Based on the amount of mailings that Macejko confirmed had been mailed, it appeared to Epiq at that time that Broadridge had requested more than 2,000 blank notices than needed. *See* Exhibit P-2 at 1.

**V. EPIQ SENDS AN ADDITIONAL REMINDER LETTER TO 32 NOMINEES ON DECEMBER 16, 2022 AT THE REQUEST OF CLASS COUNSEL AFTER EPIQ REPORTED NOT RECEIVING COMMUNICATIONS FROM THESE NOMINEES IN RESPONSE TO THE INITIAL NOTICE DATE MAILING**

19. In addition to the Epiq Nominee List that Epiq maintains (*see* ¶5 *supra*), Epiq also tracks the nominees, brokers, and Third Party Filers who frequently file in class actions. This list is a much smaller list than the Epiq Nominee List. In Epiq's experience, these are the filers who commonly participate in settlements by providing names and addresses to Epiq of potential class members, requesting bulk notices to be sent to potential class members, and/or by filing claims in the settlement.

20. On December 16, 2022, at the request of Class Counsel, Susanna Webb of Epiq sent an e-mail communication, from the dedicated case e-mail inbox (info@geronsecuritieslitigation.com), to 32

of the brokers/nominees<sup>16</sup> on the Epiq Nominee List because Epiq advised Class Counsel that it had not yet heard from these 32 brokers/nominees and wanted to ensure that they each had received a Settlement Notice Packet or had requested the appropriate number of Settlement Notice Packets, that they were following the Settlement Notice's specific instructions as regards nominees/brokers, and that they were communicating the notices to investors via e-mail, where possible. *See* 2/2/23 Mahn Decl., ¶18. These 32 were selected because they are among the nominees, brokers, and Third Party Filers who frequently file claims for potential class members in class actions, or request settlement notices to be sent to potential class members.

21. I attach hereto as Exhibit Q a true and correct copy of the December 16, 2022 e-mails from Ms. Webb that were also previously submitted as Exhibit C to the 2/2/23 Mahn Decl. The result of this December 16, 2022 outreach is as follows:

- a. **Alliance Bernstein:** On December 16, 2022, Stephanie Campos, AO/Class Actions & Proxy Team Leader at Alliance Bernstein responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) that it was aware of the Geron Securities Class Action Litigation and will be filing on behalf of affected eligible accounts. *See* Exhibit R attached hereto.
- b. **Alliant Securities:** On December 21, 2022, Melody Grinnell at Alliant Securities responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and stated "we had no purchases during the class period." *See* Exhibit S attached hereto.
- c. **BB&T Securities (now known as Truist Bank):** On December 20, 2022, Jesse Sprouse at Truist Wealth or Truist Investment Services, Inc. responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and stated that Truist had responded on June 6, 2022. *See* Exhibit T attached hereto. The date reference of June 6,

<sup>16</sup> Please note that four of the 32 brokers/nominees with whom Epiq followed up had in fact already provided names and addresses in response to the October 28, 2022 and were inadvertently included in this outreach. These brokers are discussed in ¶¶ 16(h), 18 (a),(d),and (f) *supra*.

2022 means that Ms. Sprouse was referring to the Original Class Notice regarding certification of the Class. (*See* ¶9, *supra*, Ex. GG at 8 for Truist’s original e-mail submission.)

d. **BMO Securities:** On December 16, 2022, Phuthorn Penikett, Senior Class Action Service Representative at BMO, responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) that BMO used Broadridge U.S. for class mailings and that Broadridge has already mailed notice to their clients. *See* Exhibit U attached hereto. In addition, the November 23, 2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge’s request for blank packets was on behalf of BMO Securities. *See* Exhibit P-2 at 3.

e. **CIBC:** On January 3, 2023, Jerry Nicastro on behalf of CIBC [with a reference to the Broadridge Investor Communications Corporation] responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and requested 225 copies of the Settlement Notice Packets. *See* Exhibit V at 2 attached hereto. On January 17, 2023, Grant Lambert of Epiq e-mailed Mr. Nicastro of CIBC, indicating that, on behalf of Class Counsel, he wanted to know how many of the Settlement Notice Packets (referred to as the “Notices” in the e-mail) that CIBC disseminated and requested a list of the class members to whom CIBC sent the Notice(s). *See* Exhibit V at 1. Nicastro responded on January 18, 2023 to Lambert that the mailing was completed on January 9, 2023 to 200 beneficial owners “whom have been identified as potentially eligible class members.” Nicastro declined to provide the class list information. *Id* at 1.

f. **Citigroup:** On February 13, 2023, Maureen Chatfield from Citigroup e-mailed a claim filing submission to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). *See* Exhibit W attached hereto.

g. **COR Clearing LLC (successor is Axos Clearing):** COR Clearing LLC (“Cor”), is the predecessor company to Axos Clearing. Accordingly, the December 16, 2022 e-mail

1 outreach from Susanna Webb at Epiq sent to COR Clearing LLC was returned to the  
 2 dedicated case e-mail inbox (info@geronsecuritieslitigation.com) at Epiq as  
 3 undeliverable on December 16, 2022. *See* Exhibit X at 2-16 attached hereto. At the end  
 4 of January 2023, Epiq obtained contact information for Axos Clearing, as the successor  
 5 to COR and Susanna Webb sent another e-mail outreach from the case e-mail inbox  
 6 (info@geronsecuritieslitigation.com) on January 31, 2023 to Axos Clearing Corporate  
 7 Actions at corporate.actions@axosclearing.com. *See* Exhibit X at 17. On January 31,  
 8 2023, Axos Clearing responded via e-mail to the dedicated case e-mail inbox that they  
 9 had received Epiq's e-mail. *See* Exhibit X at 18. On February 6, 2023, Bailey from Axos  
 10 Clearing provided the names and addresses for 113 potential Class Members via e-mail  
 11 to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). *Id* at 20.<sup>17</sup> On  
 12 February 13, 2023, Epiq mailed Settlement Notice Packets to these 113 potential Class  
 13 Members.

- 14 h. **DA Davidson:** The November 23, 2022 email from Denise Macejko at Broadridge (US)  
 15 indicated that Broadridge's request for blank packets was on behalf of DA Davidson. *See*  
 16 Exhibit P-2 at 3.
- 17 i. **Goldman Sachs:** On January 4, 2023, in an e-mail to the dedicated case e-mail inbox  
 18 (info@geronsecuritieslitigation.com), Goldman Sachs requested 300 blank Settlement  
 19 Notice Packets that Goldman Sachs would send to potential Class Members. *See* Exhibit  
 20 Y at 4-5 attached hereto. Epiq mailed these Settlement Notice Packets to Goldman Sachs  
 21 on January 6, 2023. On January 17, 2023, Grant Lambert, Project Director at Epiq e-  
 22 mailed Roshie Rajasekaran, Neil Philip, and gs-as-ny-classaction@gs.com at Goldman  
 23 Sachs requesting confirmation that Goldman had disseminated the Settlement Notice  
 24 Packets that Epiq sent to it. *See* Exhibit Y at 4. Lambert followed up again on January 20,

25  
 26 <sup>17</sup> I have reviewed the attachment and it contains 113 records. The attachment to the original e-mail is not included in  
 27 this Exhibit as it contains personally identifiable information of potential Class Members.

2023, January 27, 2023, and February 1, 2023. *Id* at 2-3. On February 2, 2023, Alexander Muchnick, Vice President, Asset Servicing at Goldman Sachs responded “we can provide the amount of mailings we are sending, however, we are bound by client confidentiality to not disclose who the clients are.” *Id* at 2. Lambert responded on February 2, 2023 requesting that Mr. Muchnick provide the number of notices Goldman Sachs mailed. *Id*. Muchnik then responded that Goldman mailed to 246 addresses on January 18, 2023. *Id* at 1.

j. **Edward Jones:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge’s request for blank packets was on behalf of Edward Jones. *See* Exhibit P-1, page 3.

k. **Janney Montgomery Scott:** Susanna Webb at Epiq followed up again with Janney Montgomery Scott on January 31, 2023. An e-mail was sent to the e-mail address Epiq has on file Janney Montgomery Scott: Zz-Janney Montgomery Scott LLC@janney.com. *See* Exhibit Z attached hereto. As of April 3, 2023, Epiq had not received a response from Janney Montgomery Scott.

l. **JP Morgan:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge’s request for blank packets was on behalf of J.P. Morgan Securities. *See* Exhibit P-2 at 3. Further, on February 13, 2023, Meade Reynolds at Financial Recovery Technologies e-mailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) with a claim filing submission on behalf of JP Morgan Various Clients. *See* Exhibit AA attached hereto.<sup>18</sup>

m. **JPMorgan Clearing Corp.:** On December 21, 2022, Ayana Clayton, Asset Specialist at JPMorgan Chase responded that the names and addresses were sent to Broadridge on November 8, 2022. *See* Exhibit BB attached hereto. As noted above, the November 23,

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<sup>18</sup> The attachment to the original e-mail is not included in this Exhibit as it contains personally identifiable information of potential Class Members.

2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge's request for blank packets was on behalf of J.P. Morgan Securities. *See* Exhibit P-2 at 3.

n. **KeyBanc Capital Markets:** On December 16, 2022, Amy Reading at KBCM Account Services responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and indicated that Pershing would be responding on their behalf "as they process class action request for us from these time periods." *See* Exhibit CC attached hereto. As noted above, on November 3, 2022, Lillian Marrero from BNY Mellon Pershing provided the names and address for 3,342 potential Class Members. *See* Exhibit K at 1.

o. **Mackie Research Capital Corporation:** Based on additional research performed, Mackie Research Capital Corporation changed its name to Research Capital Corporation. Research Capital Corporation provided names and addresses in response to the Original Class Notice via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). *See* ¶¶9, 16 above.

p. **Mesirow Financial Inc.:** Susanna Webb at Epiq followed up again with Mesirow Financial Inc. on January 31, 2023 from the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). An e-mail was sent to the e-mail address Epiq has on file for Mesirow Financial: marketdataserviced@mesirofinancial.com. *See* Exhibit DD attached hereto. As of April 3, 2023, Epiq had not received a response from Mesirow Financial Inc.

q. **Needham & Company LLC:** On December 16, 2022, Alex Krasner at Needham & Company, LLC responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) that Needham did not have any holders of eligible securities. *See* Exhibit EE attached hereto.



- 1           r. **Pensco Trust Company:** Based on additional research performed, Pensco Trust  
2           Company is part of Pacific Premier Trust. Pacific Premier Trust provided names and  
3           addresses in response to the Original Class Notice. *See* paragraph 9 above.
- 4           s. **Piper Jaffray:** Based on additional research performed, Piper Jaffray is now known as  
5           Piper Sandler. Piper Sandler provided names and addresses of potential Class Members  
6           in response to the Original Class Notice via e-mail to the dedicated case e-mail inbox  
7           (info@geronsecuritieslitigation.com). *See* paragraph 9 above.
- 8           t. **Raymond James:** The November 23, 2022 e-mail from Denise Macejko at Broadridge  
9           (US) indicated that Broadridge's request for blank packets was on behalf of Raymond  
10          James. *See* Exhibit P-2 at 3.
- 11          u. **Scottrade:** This e-mail was returned to Epiq as undeliverable. Scottrade is now a part of  
12          TD Ameritrade. The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
13          indicated that Broadridge's request for blank packets was on behalf of TD Ameritrade.  
14          *See* Exhibit P-2 at 3.
- 15          v. **Societe Generale:** On January 25, 2023, Mahmoud Bouachra from Societe Generale e-  
16          mailed a claim filing submission to the dedicated case e-mail inbox  
17          (info@geronsecuritieslitigation.com). *See* Exhibit FF attached hereto.
- 18          w. **Stifel Nicolaus & Company Inc.:** The November 23, 2022 e-mail from Denise Macejko  
19          at Broadridge (US) indicated that Broadridge's request for blank packets was on behalf  
20          of Stifel. *See* Exhibit P-2 at 3.
- 21          x. **Stock Cross Financial Services:** Stock Cross Financial Services is now known as Muriel  
22          Seibert. The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
23          indicated that Broadridge's request for blank packets was on behalf of Muriel Seibert. *See*  
24          Exhibit P-2 at 3.
- 25  
26  
27  
28



- 1 y. **Systematic Financial Management LP:** As of April 3, 2023, Epiq had not received a  
2 response from Systematic Financial Management LP to the December 16, 2022 e-mail  
3 from Susanna Webb at Epiq.
- 4 z. **US Bancorp Investments:** The November 23, 2022 email from Denise Macejko at  
5 Broadridge (US) indicated that Broadridge's request for blank packets was on behalf of  
6 U.S. Bancorp. *See* Exhibit P-2 at 3.
- 7 aa. **Wedbush:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
8 indicated that Broadridge's request for blank packets was on behalf of Wedbush  
9 Securities. *See* Exhibit P-2 at 3.
- 10 bb. **Wells Fargo:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
11 indicated that Broadridge's request for blank packets was on behalf of Wells Fargo  
12 Securities Wells Fargo Clearing. *See* Exhibit P-2 at 3.

13 I declare under penalty of perjury under the laws of the United States of America that the  
14 foregoing is true and correct.

15 Executed this 21st day of April 2023 at Massapequa Park, New York.

16   
17 Stephanie Amin-Giwner

# EXHIBIT A

REDACTED EXHIBIT A

SOUGHT TO BE FILED

UNDER SEAL

# EXHIBIT B

*Geron Securities Litigation*  
c/o Epiq Class Action & Claims Solutions  
P.O. Box 4574  
Portland, OR 97208-4574

Website: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com)  
Email: [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
Phone: (844) 754-5537

**NOTICE TO BROKERS, BANKS, AND OTHER NOMINEES**

**TIME-SENSITIVE, COURT-ORDERED  
ACTION REQUIRED ON YOUR PART**

***Julia Junge and Richard Junge v. Geron Corp. and John A. Scarlett,*  
Case No. 3:20-cv-00547-WHA (N.D. Cal.)**

A settlement of the above-noted securities class action has been reached, subject to approval by the Court at the Settlement Fairness Hearing. Enclosed is the Notice of (I) Proposed Settlement and Plan of Allocation; (II) Settlement Fairness Hearing; and (III) Motion for Attorneys' Fees and Litigation Expenses and Service Awards to Lead Plaintiffs and Proof of Claim and Release Form (the "Settlement Notice Packet") that the Court has ordered be timely sent to potential Class Members.

The certified Class consists of all persons who purchased Geron Corporation common stock (Nasdaq: GERN, CUSIP: 374163103) during the period from March 19, 2018, to September 26, 2018, inclusive (the "Class Period") and who were damaged thereby (the "Class").

In connection with the previously disseminated Notice of Pendency of Class Action ("Original Class Notices"), securities brokers and other nominees ("Nominees") were advised that, if they purchased Geron common stock during the Class Period for the beneficial interest of persons or entities other than themselves, they must either: (a) request from the Claims Administrator sufficient copies of the Original Class Notices to forward to all such beneficial owners and then forward those Original Class Notices to all such beneficial owners; or (b) provide a list of the names and addresses of all such beneficial owners to the Claims Administrator.

- (a) If you elected to mail the Original Class Notice directly to beneficial owners, you were advised that you must retain the mailing records for use in connection with any further notices that may be provided in the Action. For Nominees who chose the first option (*i.e.*, elected to mail the Original Class Notices directly to beneficial owners), the Claims Administrator shall forward the same number of the Settlement Notice Packets to such Nominees no later than the Notice Date, and the Nominees shall, by no later than **SEVEN (7) CALENDAR DAYS AFTER RECEIPT OF THE SETTLEMENT NOTICE PACKET**, mail the Settlement Notice Packets to their beneficial owners. The Claims Administrator shall confirm in writing with each Nominee compliance with the Order and promptly notify the Court of any noncompliance; or
- (b) For Nominees who chose the second option (*i.e.*, provided a list of names and addresses of beneficial holders to the Claims Administrator), the Claims Administrator shall, by no later than the Notice Date, mail a copy of the Settlement Notice Packet to each of the beneficial owners whose names and addresses the Nominee previously supplied. Unless the Nominee purchased Geron common stock during the Class Period for beneficial owners whose names and addresses were not previously provided to the Claims Administrator, or is aware of a name or address change of one of its beneficial owners, such Nominees need not take any further action.
- (c) For Nominees that purchase Geron common stock during the Class Period for beneficial owners whose names and addresses were not previously provided to the Claims Administrator or if a Nominee is aware of name and address changes for beneficial owners whose names and addresses were previously provided to the Claims Administrator, such Nominees shall, by no later than **SEVEN (7) CALENDAR DAYS AFTER RECEIPT OF THE SETTLEMENT NOTICE PACKET**, provide a list of the names and addresses of all such beneficial owners to the Claims Administrator, or shall request from Epiq sufficient copies of the Settlement Notice Packet to forward to all such beneficial owners, which the Nominee shall, **WITHIN SEVEN (7) CALENDAR DAYS OF RECEIPT OF THE SETTLEMENT NOTICE PACKETS** from the Claims Administrator, and no later than **NOVEMBER 30, 2022**, mail to the beneficial owners. The Claims Administrator shall confirm in writing with each Nominee compliance with the Order and promptly notify the Court of any noncompliance.

**PLEASE NOTE: These documents contain deadlines that could impact your customers' rights.**

**If you are providing a list of names and addresses to the Claims Administrator, please do the following:**

- (a) Compile a list of names and last known addresses of the beneficial owners described above.

**For questions, please call (844) 754-5537.**

- (b) Prepare the list in Microsoft Excel format following the “Electronic Name and Address File Layout” set forth on page 2. A preformatted spreadsheet can also be found on the “Nominees” page of the website, [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com)
- (c) Then you must do one of the following:

1. Burn the Microsoft Excel file(s) to a CD or DVD and mail the CD or DVD to:

*Geron Securities Litigation*  
c/o Epiq Class Action & Claims Solutions  
P.O. Box 4574  
Portland, OR 97208-4574

2. Email the spreadsheet to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).
3. Upload the spreadsheet to the “Nominees” page of the website, [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

**If you are going to forward the Settlement Notice Packet to the beneficial owners**, request the needed number of copies of the Notice Packet via email to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com). You must mail the Settlement Notice Packets to the beneficial owners within seven (7) calendar days of your receipt of the Settlement Notice Packets, and no later than November 30, 2022, and confirm to the Claims Administrator in writing compliance with the Court’s Order.

### **Expense Reimbursement**

Reasonable expenses actually incurred in fully and timely complying with the Court’s Order and these directions may be eligible for reimbursement (including postage and costs to compile names and addresses) by providing the Claims Administrator with proper documentation supporting the expenses for which reimbursement is sought. Please submit your invoice within one month of completing the mailing or providing your file. Expense reimbursement is subject to oversight of the Court, and any disputes shall be subject to review by the Court.

### **Electronic Name and Address File Layout**

Column	Description	Length	Notes
A	Account #	15	Unique identifier for each record
B	Beneficial owner’s first name	25	
C	Beneficial owner’s middle name	15	
D	Beneficial owner’s last name	30	
E	Joint beneficial owner’s first name	25	
F	Joint beneficial owner’s middle name	15	
G	Joint beneficial owner’s last name	30	
H	Business or record owner’s name	60	Businesses, trusts, IRAs, and other types of accounts
I	Representative or contact name	45	
J	Address 1	35	
K	Address 2	25	
L	City	25	
M	U.S. state or Canadian province	2	U.S. and Canada addresses only <sup>1</sup>
N	ZIP Code	10	
O	Country (other than U.S.)	15	

**For further details, please refer to page 16 of the enclosed Notice.**

If you have any questions, you may contact the Claims Administrator at (844) 754-5537 or by email at [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com). Thank you for your cooperation.

<sup>1</sup> For countries other than the U.S. and Canada, place any territorial subdivision in “Address 2” field.

# EXHIBIT C

**Webb, Susanna**

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**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:29 PM  
**To:** DARYLL.BAXTER@FMR.COM  
**Cc:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B08  
**Attachments:** Geron Securities Litigation\_Email B08\_Undeliverable Records.xlsx; Geron Securities Litigation\_Proxy Cover Letter.pdf

Dear Daryll Baxter at Fidelity Investments:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

Since the last time you provided the mailing address and/or other data to Epiq for the Geron Securities Litigation matter in connection with the Original Class Notices, there has been a proposed settlement in the action for which a Settlement Notice and Claim Form ("Settlement Packets") need to be mailed to potential Class members through the same process as was undertaken previously.

On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

***WHY DOES EPIQ NEED OUR RESPONSE AND CORRECTIONS BY NOVEMBER 10, 2022?:***

Timely corrections are imperative because not only does EPIQ have a deadline by Court order to complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other



sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

***WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?***

Your noncompliance may be reported at an appropriate time to the Court. Please be aware that the Court may require information from your firm or entity directly.

Please be further advised that the Court may deny any potential reimbursement to you for mailings using incorrect addresses.

***WHAT ELSE SHOULD WE DO?***

Because the issue has appeared in the data you provided Epiq for the mailings it is handling under the option you previously selected, we are concerned you may have the same issue in connection with mailings of the Class notice you decided to undertake directly to beneficial owners earlier this year in the Original Class Notices. In other words, if you provided Epiq wrong data, we are concerned the issue may also impact the data you used for the mailings you did directly for the Original Class Notices or now, for the Settlement Packets. Thus, you should also check the data you have for the mailings and confirm in writing to Epiq within five (5) business days of the date of this email that you have checked the data for mailings you are doing directly, that it is accurate, and then send that data to Epiq for our records as well. Please send this data separately from the above requested data to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiqglobal.com](mailto:grant.lambert@epiqglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

**Webb, Susanna**

---

**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:28 PM  
**To:** VGRAHAM@CREWSFS.COM  
**Cc:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B04  
**Attachments:** Geron Securities Litigation\_Proxy Cover Letter.pdf; Geron Securities Litigation\_Email B04 \_Undeliverable Records.xlsx

Dear Vera Graham at Crews and Associates:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

Since the last time you provided the mailing address and/or other data to Epiq for the Geron Securities Litigation matter in connection with the Original Class Notices, there has been a proposed settlement in the action for which a Settlement Notice and Claim Form ("Settlement Packets") need to be mailed to potential Class members through the same process as was undertaken previously.

On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

***WHY DOES EPIQ NEED OUR RESPONSE AND CORRECTIONS BY NOVEMBER 10, 2022?:***

Timely corrections are imperative because not only does EPIQ have a deadline by Court order to complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other

sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

***WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?***

Your noncompliance may be reported at an appropriate time to the Court. Please be aware that the Court may require information from your firm or entity directly.

Please be further advised that the Court may deny any potential reimbursement to you for mailings using incorrect addresses.

***WHAT ELSE SHOULD WE DO?***

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Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiqglobal.com](mailto:grant.lambert@epiqglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

**Webb, Susanna**

---

**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:28 PM  
**To:** BONNIE.ALLEN@HILLTOPSECURITIES.COM  
**Cc:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B03  
**Attachments:** Geron Securities Litigation\_Proxy Cover Letter.pdf; Geron Securities Litigation\_Email B03 \_Undeliverable Records.xlsx

Dear Bonnie Allen at Hilltop Securities, Inc.:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

Since the last time you provided the mailing address and/or other data to Epiq for the Geron Securities Litigation matter in connection with the Original Class Notices, there has been a proposed settlement in the action for which a Settlement Notice and Claim Form ("Settlement Packets") need to be mailed to potential Class members through the same process as was undertaken previously.

On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

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Timely corrections are imperative because not only does EPIQ have a deadline by Court order to complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other

sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

***WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?***

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Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiqglobal.com](mailto:grant.lambert@epiqglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

**Webb, Susanna**

---

**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:29 PM  
**To:** jalberico@researchcapital.com  
**Cc:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B15  
**Attachments:** Geron Securities Litigation\_Proxy Cover Letter.pdf; Geron Securities Litigation\_Email B15 \_Undeliverable Records.xlsx

Dear Joe Alberico at Research Capital:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

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Timely corrections are imperative because not only does EPIQ have a deadline by Court order to complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other

sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

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Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiqglobal.com](mailto:grant.lambert@epiqglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

**Webb, Susanna**

---

**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:29 PM  
**To:** JEN.CURTIN@SCHWAB.COM  
**Cc:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14  
**Attachments:** Geron Securities Litigation\_Proxy Cover Letter.pdf; Geron Securities Litigation\_Email B14 \_Undeliverable Records.xlsx

Dear Jen Curtin at Charles Schwab:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

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On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

***WHY DOES EPIQ NEED OUR RESPONSE AND CORRECTIONS BY NOVEMBER 10, 2022?:***

Timely corrections are imperative because not only does EPIQ have a deadline by Court order to complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

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Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

***WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?***

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Please be further advised that the Court may deny any potential reimbursement to you for mailings using incorrect addresses.

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Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiglobal.com](mailto:grant.lambert@epiglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

**Webb, Susanna**

---

**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:29 PM  
**To:** REORGCLASSACTIONS2@BROADRIDGE.COM  
**Cc:** Class Action Mailing Service; info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12  
**Attachments:** Geron Securities Litigation\_Proxy Cover Letter.pdf; Geron Securities Litigation\_Email B12 \_Undeliverable Records.xlsx

Dear RADHAKRISHNA PUTCHA at Broadridge:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

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Sincerely,  
Claims Administrator  
Geron Securities Litigation

**Webb, Susanna**

---

**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:29 PM  
**To:** REBECCA.X.SUMMERS@BNYMELLON.COM  
**Cc:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B10  
**Attachments:** Geron Securities Litigation\_Proxy Cover Letter.pdf; Geron Securities Litigation\_Email B10 \_Undeliverable Records.xlsx

Dear Rebecca Summers at BNYMellon:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

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Sincerely,  
Claims Administrator  
Geron Securities Litigation

**Webb, Susanna**

---

**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, November 4, 2022 5:28 PM  
**To:** JULIE.GILMORE@STONEX.COM  
**Cc:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B06  
**Attachments:** Geron Securities Litigation\_Proxy Cover Letter.pdf; Geron Securities Litigation\_Email B06 \_Undeliverable Records.xlsx

Dear Julie Gilmore at Stonex Financial Inc.:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

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Sincerely,  
Claims Administrator  
Geron Securities Litigation

# EXHIBIT D



## Amin-Giwner, Stephanie

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**From:** Baxter, Daryll <Daryll.Baxter@fmr.com>  
**Sent:** Monday, November 7, 2022 4:24 PM  
**To:** info\_GeronSecuritiesLitigati  
**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B08

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hello,

We can only provide the addresses we have in our files.

The addresses you forwarded to me on 11/4 are the addresses we have on file. Therefore, we do not have any other addresses to provide.

Regards,

Daryll Baxter | Legal Operations Analyst | FIDELITY INSTITUTIONAL

100 Salem Street  
Smithfield, RI 02917  
Phone: 617.563.7367  
Fax: 401.292.0188  
[Daryll.Baxter@fmr.com](mailto:Daryll.Baxter@fmr.com)

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**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Sent:** Friday, November 4, 2022 5:29 PM  
**To:** Baxter, Daryll <Daryll.Baxter@fmr.com>  
**Cc:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B08

**NOTICE:** This email is from an external sender - **do not click on links or attachments unless you recognize the sender and know the content is safe.**

Dear Daryll Baxter at Fidelity Investments:

We recently realized that there is a problem with the mailing address and/or other data you sent to Eqiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

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Sincerely,  
Claims Administrator  
Geron Securities Litigation

# EXHIBIT E

**From:** [Vera Graham](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Cc:** [Jere English](#)  
**Subject:** UPDATED ADDRESS INFO  
**Date:** Monday, November 7, 2022 4:22:59 PM  
**Attachments:** [GeronNameAddress - corrected.xlsx](#)

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Attached is the spreadsheet with the corrected address for account 3JG223213. HWY has been updated to HW and city was updated from SEARCH to SEARCY.

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**IMPORTANT UPDATE - Regarding Clearing and Settlements for Crews and Associates  
FIXED INCOME TRADES**

Effective immediately Crews & Associates has changed its clearing broker to Pershing LLC and our new instructions will be "CREW | 0443".

If you have any additional questions regarding this notice please contact us at (800) 766-2000.

<https://www.crewsfs.com/disclosures/pershingtransition/>

---

*Vera Graham*

**Crews & Associates, Inc.**  
First Security Center  
521 President Clinton Avenue  
Suite 800  
Little Rock, AR 72201

**Main** (800)766-2000  
**Direct**  
**Fax**  
vgraham@crewsfs.com  
[www.crewsfs.com](http://www.crewsfs.com)



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**IMPORTANT NOTICES:**

This message is for the named person's use only. It may contain confidential, proprietary or legally privileged information. No confidentiality or privilege is waived or lost by any mistransmission. If you receive this message in error, please immediately delete all versions from your system, destroy any hard copies and notify the sender. Crews & Associates, Inc. reserves the right to monitor all e-mail communications through its networks. Please know that electronic mail is not secure. Crews does not accept or take responsibility for acting on time-sensitive instructions sent by e-mail including securities orders, fund transfer instructions, stop payments on checks, or other similar instructions. To opt out of future email communications from Crews & Associates, Inc., please send a message to [emailoptout@crewsfs.com](mailto:emailoptout@crewsfs.com). Please

note that you may continue to receive transactional communications, where applicable. Crews & Associates, Inc. is a non-bank subsidiary of First Security Bancorp and is a member of FINRA & SIPC.

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**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>

**Sent:** Friday, November 4, 2022 4:28 PM

**To:** Vera Graham <vgraham@crewsfs.com>

**Cc:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>

**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B04

**[External Email]**

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Dear Vera Graham at Crews and Associates:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

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On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

***WHY DOES EPIQ NEED OUR RESPONSE AND CORRECTIONS BY NOVEMBER 10, 2022?:***

Timely corrections are imperative because not only does EPIQ have a deadline by Court order to

complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

***WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?***

Your noncompliance may be reported at an appropriate time to the Court. Please be aware that the Court may require information from your firm or entity directly.

Please be further advised that the Court may deny any potential reimbursement to you for mailings using incorrect addresses.

***WHAT ELSE SHOULD WE DO?***

Because the issue has appeared in the data you provided Epiq for the mailings it is handling under the option you previously selected, we are concerned you may have the same issue in connection with mailings of the Class notice you decided to undertake directly to beneficial owners earlier this year in the Original Class Notices. In other words, if you provided Epiq wrong data, we are concerned the issue may also impact the data you used for the mailings you did directly for the Original Class Notices or now, for the Settlement Packets. Thus, you should also check the data you have for the mailings and confirm in writing to Epiq within five (5) business days of the date of this email that you have checked the data for mailings you are doing directly, that it is accurate, and then send that data to Epiq for our records as well. Please send this data separately from the above requested data to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiglobal.com](mailto:grant.lambert@epiglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

---



# EXHIBIT F

**From:** [Bonnie Allen \(HTS\)](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B03  
**Date:** Monday, November 7, 2022 9:22:40 AM  
**Attachments:** [Geron Corporation Securities Litigation.xlsx](#)

---

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

My apologies. It appears that there was another matter pertaining to Geron back in 2017 and that was the spreadsheet that was accidentally attached previously. The correct spreadsheet is attached.

Thank you.

**Bonnie Allen**

Hilltop Securities Inc.

Paralegal

717 N Harwood St, Suite 3400 | Dallas, TX 75201

direct: 214.859.6521 | work mobile: 972.430.5345

[Bonnie.Allen@hilltopsecurities.com](mailto:Bonnie.Allen@hilltopsecurities.com) | [HilltopSecurities.com](http://HilltopSecurities.com)

**THIS COMMUNICATION IS PROTECTED BY THE ATTORNEY-CLIENT AND/OR WORK PRODUCT PRIVILEGES AND MAY NOT BE DISCLOSED OR FORWARDED TO ANY OTHER PARTY WITHOUT THE PRIOR AUTHORIZATION OF THE SENDER.**

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**CONTRACT NOTICE:** Nothing within this email communication, including the signature block, should be construed as forming a contract, binding an offer, establishing acceptance, or constituting a signed agreement. The author of this email communication is not authorized, and has no intent, to make offers or enter into contracts or agreements via email communications.

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**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>

**Sent:** Friday, November 4, 2022 4:28 PM

**To:** Bonnie Allen (HTS) <Bonnie.Allen@hilltopsecurities.com>

**Cc:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>

**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B03

**EXTERNAL  
SENDER**

Dear Bonnie Allen at Hilltop Securities, Inc.:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

Since the last time you provided the mailing address and/or other data to Epiq for the Geron Securities Litigation matter in connection with the Original Class Notices, there has been a proposed settlement in the action for which a Settlement Notice and Claim Form ("Settlement Packets") need to be mailed to potential Class members through the same process as was undertaken previously.

On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

***WHY DOES EPIQ NEED OUR RESPONSE AND CORRECTIONS BY NOVEMBER 10, 2022?:***

Timely corrections are imperative because not only does EPIQ have a deadline by Court order to complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY

NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

***WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?***

Your noncompliance may be reported at an appropriate time to the Court. Please be aware that the Court may require information from your firm or entity directly.

Please be further advised that the Court may deny any potential reimbursement to you for mailings using incorrect addresses.

***WHAT ELSE SHOULD WE DO?***

Because the issue has appeared in the data you provided Epiq for the mailings it is handling under the option you previously selected, we are concerned you may have the same issue in connection with mailings of the Class notice you decided to undertake directly to beneficial owners earlier this year in the Original Class Notices. In other words, if you provided Epiq wrong data, we are concerned the issue may also impact the data you used for the mailings you did directly for the Original Class Notices or now, for the Settlement Packets. Thus, you should also check the data you have for the mailings and confirm in writing to Epiq within five (5) business days of the date of this email that you have checked the data for mailings you are doing directly, that it is accurate, and then send that data to Epiq for our records as well. Please send this data separately from the above requested data to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiqglobal.com](mailto:grant.lambert@epiqglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

# EXHIBIT G

## Amin-Giwner, Stephanie

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**From:** Curtin, Jen <Jen.Curtin@Schwab.com>  
**Sent:** Monday, November 21, 2022 3:42 PM  
**To:** Lambert, Grant  
**Subject:** RE: RETo Subject Sent Size Categories : Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

You too! ( I am here all week minus Turkey Day) 😊 so let me know! HAPPY THANKSGIVING TO YOU AND YOUR FAMILY 😊

---

**From:** Grant Lambert via Schwab Secure Mail <SecureMail\_DoNotReply@schwab.com>  
**Sent:** Monday, November 21, 2022 1:29 PM  
**To:** Curtin, Jen <Jen.Curtin@Schwab.com>  
**Subject:** [Securely Decrypted] RE: RETo Subject Sent Size Categories : Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

Thank you so much for the quick update!

I think that should work. Our data team is reviewing. I will let you know if we need anything else.

I hope you have a great Thanksgiving!

---

**From:** Curtin, Jen  
**Sent:** Mon, 21 Nov 2022 20:09:44 +0000  
**To:** [glambert@epiglobal.com](mailto:glambert@epiglobal.com)  
**Cc:**  
**Subject:** RE: RETo Subject Sent Size Categories : Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

I am not sure why it sent the same file, but this one has all the JUNGE family in TX. Let me know if you see anything else.

**From:** Curtin, Jen  
**Sent:** Monday, November 21, 2022 12:58 PM  
**To:** [glambert@epiglobal.com](mailto:glambert@epiglobal.com)

**Subject:** RE: RETo Subject Sent Size Categories : Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

I see what you mean, I went back and pulled my original. Let me know if you have any issues.

**From:** Grant Lambert via Schwab Secure Mail <[SecureMail\\_DoNotReply@schwab.com](mailto:SecureMail_DoNotReply@schwab.com)>

**Sent:** Monday, November 21, 2022 12:36 PM

**To:** Curtin, Jen <[Jen.Curtin@Schwab.com](mailto:Jen.Curtin@Schwab.com)>

**Cc:** [glambert@epiglobal.com](mailto:glambert@epiglobal.com)

**Subject:** [Securely Decrypted] RE: RETo Subject Sent Size Categories : Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

Thank you Jen,

There are data issues with this file.

Please see the attached.

The address 18102 Talavera Ridge 2401 should be found in San Antonio TX.

The attached data from that file places the address in CA, AZ, and NY.

---

**From:** Curtin, Jen

**Sent:** Mon, 21 Nov 2022 17:31:09 +0000

**To:** Lambert, Grant

**Cc:**

**Subject:** RETo Subject Sent Size Categories : Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

Hi Grant, the corrected file was submitted and included in the email attachment to Susanne. I have re-attached that file and email.

**From:** Lambert, Grant <[glambert@epiglobal.com](mailto:glambert@epiglobal.com)>

**Sent:** Monday, November 21, 2022 10:28 AM

**To:** Curtin, Jen <[Jen.Curtin@Schwab.com](mailto:Jen.Curtin@Schwab.com)>

**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

Hello Jen,

I hope you had a good weekend.

We did mail to the file from 6/27.

This file contained incorrect data. It looks like data was mis-sorted.

Are you able to send a corrected file asap?

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

**From:** Curtin, Jen <[Jen.Curtin@Schwab.com](mailto:Jen.Curtin@Schwab.com)>

**Sent:** Tuesday, November 8, 2022 6:25 AM

**To:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Grant, are you able to confirm you received my previous message with the attachment from 06/27? From what I can tell from the chain with Susanne, I do not believe the corrected file was the one used. I want to make sure there isn't anything else I need to do on my end and that Schwab has no more repercussions.



**From:** Curtin, Jen

**Sent:** Tuesday, November 8, 2022 4:37 AM

**To:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

Good morning Grant, I will review today and get back.

**From:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Sent:** Monday, November 7, 2022 4:09 PM

**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>; Curtin, Jen <[Jen.Curtin@Schwab.com](mailto:Jen.Curtin@Schwab.com)>

**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

Hello Jen,

I hope you are well.

I am following up on the email below for the Geron Settlement.

We recently mailed notices to the records you had previously provided for the Geron Settlement.

5453 notices were undeliverable. Are you able to review the list and update the data as needed?

Please let me know if you have any questions.

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

**From:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Sent:** Friday, November 4, 2022 2:29 PM  
**To:** [JEN.CURTIN@SCHWAB.COM](mailto:JEN.CURTIN@SCHWAB.COM)  
**Cc:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B14

Dear Jen Curtin at Charles Schwab:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

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On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

**WHY DOES EPIQ NEED OUR RESPONSE AND CORRECTIONS BY NOVEMBER 10, 2022?:**

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**WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:**

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other sources for updated information. A password protected spreadsheet with the incorrect data you provided before is attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

**WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?**

Your noncompliance may be reported at an appropriate time to the Court. Please be aware that the Court may require information from your firm or entity directly.

Please be further advised that the Court may deny any potential reimbursement to you for mailings using incorrect addresses.

**WHAT ELSE SHOULD WE DO?**

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for the mailings and confirm in writing to Epiq within five (5) business days of the date of this email that you have checked the data for mailings you are doing directly, that it is accurate, and then send that data to Epiq for our records as well. Please send this data separately from the above requested data to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiglobal.com](mailto:grant.lambert@epiglobal.com).

Sincerely,

Claims Administrator

Geron Securities Litigation

Classification: Schwab Internal

Classification: Schwab Internal

Classification: Schwab Internal

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**From:** [Jen.Curtin@Schwab.com](mailto:Jen.Curtin@Schwab.com)  
**To:** [Susanna.Webb@epiglobal.com](mailto:Susanna.Webb@epiglobal.com)  
**Cc:** [Melissa.Mejia@epiglobal.com](mailto:Melissa.Mejia@epiglobal.com), [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**Subject:** RE: Geron Securities Broker Mailing Request  
**Date:** Mon, 27 Jun 2022 17:34:47 +0000

My apologies, all of those should have been deleted leaving 6103 names left. Please see attached.

**From:** Webb, Susanna <[Susanna.Webb@epiglobal.com](mailto:Susanna.Webb@epiglobal.com)>  
**Sent:** Monday, June 27, 2022 10:30 AM

**To:** Curtin, Jen <[Jen.Curtin@Schwab.com](mailto:Jen.Curtin@Schwab.com)>

**Cc:** Mejia, Melissa <[Melissa.Mejia@epiqglobal.com](mailto:Melissa.Mejia@epiqglobal.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Subject:** RE: Geron Securities Broker Mailing Request

Hello Jen,

No filter is applied. The header is there as are names for most of the file. However, name is blank in row 6015 and up.

Thank you,

Susanna

**From:** Curtin, Jen <[Jen.Curtin@Schwab.com](mailto:Jen.Curtin@Schwab.com)>

**Sent:** Monday, June 27, 2022 7:46 AM

**To:** Webb, Susanna <[Susanna.Webb@epiqglobal.com](mailto:Susanna.Webb@epiqglobal.com)>

**Cc:** Mejia, Melissa <[Melissa.Mejia@epiqglobal.com](mailto:Melissa.Mejia@epiqglobal.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Subject:** RE: Geron Securities Broker Mailing Request

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

This is a secure message.

[Click here](#) by 2022-07-02 04:45 PDT to read your message.

After that, open the attachment.

[More Info](#)

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Classification: Schwab Internal

Classification: Schwab Internal

Classification: Schwab Internal

# EXHIBIT H

**Amin-Giwner, Stephanie**

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**From:** Putcha, Radhakrishna <Radhakrishna.Putcha@broadridge.com>  
**Sent:** Friday, January 13, 2023 7:02 PM  
**To:** Schmidt, Nicholas; info\_GeronSecuritiesLitigati; Lambert, Grant  
**Cc:** Class Action Mailing Service; Reorg Class Actions; Twila Potts; Jyoti Gusain; 0158 Corporate Actions; Amy Galli-Botsford; Bishop, Robert L; Dsilva, Aldrin; Vasthav, Aditi; Reorg Class Actions  
**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12  
**Attachments:** Geron Securities Litigation\_Email B12\_Undeliverable Records with Email Contacts.xlsx  
**Follow Up Flag:** Follow up  
**Flag Status:** Completed

Hi Nikholas,

Please be informed that we have provided email addresses for the problematic records for which Notices were returned as undeliverable.

Request you to send the soft copies of the notices by using e-mail contacts (Column I), as the database is not giving any different address other than what was provided originally.

Regards,

Radhakrishna Putcha | Team Manager | Corporate Actions |

Broadridge Financial Solutions, Inc.

Divyasree NR Enclave; Whitefield | Bangalore 560066; India | Ph: 201-793-4378

[radhakrishna.putcha@broadridge.com](mailto:radhakrishna.putcha@broadridge.com)

---

**From:** Schmidt, Nicholas <nicholas.schmidt@epiqglobal.com>

**Sent:** Tuesday, November 15, 2022 5:39 PM

**To:** Putcha, Radhakrishna <Radhakrishna.Putcha@broadridge.com>; info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>; Lambert, Grant <glambert@epiqglobal.com>

**Cc:** Class Action Mailing Service <ClassActionMailingService@Broadridge.com>; Reorg Class Actions <ReorgClassActions2@broadridge.com>; Twila Potts <tpotts@apexfintechsolutions.com>; Jyoti Gusain <jgusain@apexfintechsolutions.com>; 0158 Corporate Actions <0158CorporateActions@apexclearing.com>; Amy Galli-Botsford <agallibotsford@apexfintechsolutions.com>; Bishop, Robert L <Robert.Bishop@broadridge.com>; Dsilva, Aldrin <Aldrin.Dsilva@broadridge.com>; Vasthav, Aditi <Aditi.Vasthav@broadridge.com>; Reorg Class Actions <ReorgClassActions2@broadridge.com>

**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12

**Importance:** High

**EXTERNAL EMAIL**

Hello Radhakrishna,

I reviewed the spreadsheet you sent dated 11.10.22 against the original data you provided in the Notice of Pendency Phase as well as the undeliverable list we sent you and almost all the records have the exact name and address. There are also approximately 400 additional records that were not on our undeliverable list but you had them in your original



data from the 1<sup>st</sup> mailing. Can you please review the data and provide us with the records you have new or updated addresses for?

Please see the attached spreadsheet. Column C indicates the same address. Password will follow.

Regards,

**Nicholas Schmidt**

Epiq | Manager of Client Services

Mobile: +1 631-470-5196

Email: [Nicholas.schmidt@epiglobal.com](mailto:Nicholas.schmidt@epiglobal.com)

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**From:** Putcha, Radhakrishna <[Radhakrishna.Putcha@broadridge.com](mailto:Radhakrishna.Putcha@broadridge.com)>

**Sent:** Thursday, November 10, 2022 3:53 PM

**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>; Lambert, Grant <[glambert@epiglobal.com](mailto:glambert@epiglobal.com)>; Lambert, Grant <[glambert@epiglobal.com](mailto:glambert@epiglobal.com)>

**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>; Twila Potts <[tpotts@apexfintechsolutions.com](mailto:tpotts@apexfintechsolutions.com)>; Jyoti Gusain <[jgusain@apexfintechsolutions.com](mailto:jgusain@apexfintechsolutions.com)>; 0158 Corporate Actions <[0158CorporateActions@apexclearing.com](mailto:0158CorporateActions@apexclearing.com)>; Amy Galli-Botsford <[agallibotsford@apexfintechsolutions.com](mailto:agallibotsford@apexfintechsolutions.com)>; Bishop, Robert L <[Robert.Bishop@broadridge.com](mailto:Robert.Bishop@broadridge.com)>; Dsilva, Aldrin <[Aldrin.Dsilva@broadridge.com](mailto:Aldrin.Dsilva@broadridge.com)>; Vasthav, Aditi <[Aditi.Vasthav@broadridge.com](mailto:Aditi.Vasthav@broadridge.com)>; Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>

**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12

Hi Jessie,

Please use attached file for the undeliverable records provided in second attachment.

Password will be sent in separate e-mail.

Please let us know if you need any other information.

Regards,

Radhakrishna Putcha | Team Manager | Corporate Actions |

Broadridge Financial Solutions, Inc.

Divyasree NR Enclave; Whitefield | Bangalore 560066; India | Ph: 201-793-4378

[radhakrishna.putcha@broadridge.com](mailto:radhakrishna.putcha@broadridge.com)

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**From:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Sent:** Tuesday, November 8, 2022 11:30 AM

**To:** Putcha, Radhakrishna <[Radhakrishna.Putcha@broadridge.com](mailto:Radhakrishna.Putcha@broadridge.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>; Lambert, Grant <[glambert@epiglobal.com](mailto:glambert@epiglobal.com)>; Lambert, Grant <[glambert@epiglobal.com](mailto:glambert@epiglobal.com)>

**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>; Twila Potts <[tpotts@apexfintechsolutions.com](mailto:tpotts@apexfintechsolutions.com)>; Jyoti Gusain <[jgusain@apexfintechsolutions.com](mailto:jgusain@apexfintechsolutions.com)>; 0158 Corporate Actions <[0158CorporateActions@apexclearing.com](mailto:0158CorporateActions@apexclearing.com)>; Amy Galli-Botsford <[agallibotsford@apexfintechsolutions.com](mailto:agallibotsford@apexfintechsolutions.com)>; Bishop, Robert L <[Robert.Bishop@broadridge.com](mailto:Robert.Bishop@broadridge.com)>; Dsilva, Aldrin

<[Aldrin.Dsilva@broadridge.com](mailto:Aldrin.Dsilva@broadridge.com)>; Vasthav, Aditi <[Aditi.Vasthav@broadridge.com](mailto:Aditi.Vasthav@broadridge.com)>; Reorg Class Actions  
<[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>

**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12

**EXTERNAL EMAIL**

Hi,

The list was just provided to you so that you would know which records were affected. The records were mailed out as you provided the addresses. The report did not include the full mailing addresses for foreign records and the mailing addresses did not include that country code. Apologies for the confusion.

But we can confirm that the mailings were mailed to the addresses and countries as provided in your records.

**Jessie Mahn**

Epiq | Project Manager, Client Services  
Office: +1 206 753 0703  
Mobile: +1 206 419 0551  
Email: [jessie.mahn@epiqglobal.com](mailto:jessie.mahn@epiqglobal.com)  
Pronouns: she/her/hers

**People. Partnership. Performance**  
[www.epiqglobal.com](http://www.epiqglobal.com)

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**From:** Putcha, Radhakrishna <[Radhakrishna.Putcha@broadridge.com](mailto:Radhakrishna.Putcha@broadridge.com)>

**Sent:** Tuesday, November 8, 2022 6:53 AM

**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>; Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>; Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>; Twila Potts <[tpotts@apexfintechsolutions.com](mailto:tpotts@apexfintechsolutions.com)>; Jyoti Gusain <[jgusain@apexfintechsolutions.com](mailto:jgusain@apexfintechsolutions.com)>; 0158 Corporate Actions <[0158CorporateActions@apexclearing.com](mailto:0158CorporateActions@apexclearing.com)>; Amy Galli-Botsford <[agallibotsford@apexfintechsolutions.com](mailto:agallibotsford@apexfintechsolutions.com)>; Bishop, Robert L <[Robert.Bishop@broadridge.com](mailto:Robert.Bishop@broadridge.com)>; Dsilva, Aldrin <[Aldrin.Dsilva@broadridge.com](mailto:Aldrin.Dsilva@broadridge.com)>; Vasthav, Aditi <[Aditi.Vasthav@broadridge.com](mailto:Aditi.Vasthav@broadridge.com)>; Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>

**Subject:** FW: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12

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++ Grant Lambert

Regards,

Radhakrishna Putcha | Team Manager | Corporate Actions |  
Broadridge Financial Solutions, Inc.  
Divyasree NR Enclave; Whitefield | Bangalore 560066; India | Ph: 201-793-4378  
[radhakrishna.putcha@broadridge.com](mailto:radhakrishna.putcha@broadridge.com)

**From:** Putcha, Radhakrishna <[Radhakrishna.Putcha@broadridge.com](mailto:Radhakrishna.Putcha@broadridge.com)>  
**Sent:** Tuesday, November 8, 2022 9:17 AM  
**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>; Twila Potts <[tpotts@apexfintechsolutions.com](mailto:tpotts@apexfintechsolutions.com)>; Jyoti Gusain <[jgusain@apexfintechsolutions.com](mailto:jgusain@apexfintechsolutions.com)>; 0158 Corporate Actions <[0158CorporateActions@apexclearing.com](mailto:0158CorporateActions@apexclearing.com)>; Amy Galli-Botsford <[agallibotsford@apexfintechsolutions.com](mailto:agallibotsford@apexfintechsolutions.com)>; Bishop, Robert L <[Robert.Bishop@broadridge.com](mailto:Robert.Bishop@broadridge.com)>; Dsilva, Aldrin <[Aldrin.Dsilva@broadridge.com](mailto:Aldrin.Dsilva@broadridge.com)>; Vasthav, Aditi <[Aditi.Vasthav@broadridge.com](mailto:Aditi.Vasthav@broadridge.com)>  
**Subject:** FW: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12

**\*Looping in More Contacts\***

Hi Claims Administration Team,

Adding to the below, we have also noticed that the file provided by Br Reorg team is having “Address line 3” and “Address line 4” which are missing in the “Undeliverable Records” file provided by you.

Can you please check and confirm if the complete information that was provided by BPO Reorg was used for mailing the material?

Regards,  
Radhakrishna Putcha | Team Manager | Corporate Actions |  
Broadridge Financial Solutions, Inc.  
Divyasree NR Enclave; Whitefield | Bangalore 560066; India | Ph: 201-793-4378  
[radhakrishna.putcha@broadridge.com](mailto:radhakrishna.putcha@broadridge.com)

---

**From:** Putcha, Radhakrishna  
**Sent:** Tuesday, November 8, 2022 6:19 AM  
**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>  
**Subject:** RE: Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12

Good Morning Team,

Thanks for reaching us out on below issue of invalid addresses.

After reviewing the file provided by you on 11/04/2022, we see that most of those addresses are “Non-US” addresses as per the names & addresses file provided by us to you back in June’2022. However, we see the country code as “UNITED STATES” for those “Non-US” addresses in your file, which was not the case with the file we provided to you.

While we look into this issue further, can you please check as to why there is a discrepancy in terms of the “Country Code” between the two files as mentioned above?

Password to open the file provided by BR Reorg: **GER2022**

Regards,  
Radhakrishna Putcha | Team Manager | Corporate Actions |  
Broadridge Financial Solutions, Inc.

Divyasree NR Enclave; Whitefield | Bangalore 560066; India | Ph: 201-793-4378  
[radhakrishna.putcha@broadridge.com](mailto:radhakrishna.putcha@broadridge.com)

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**From:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Sent:** Friday, November 4, 2022 5:29 PM  
**To:** Reorg Class Actions <[ReorgClassActions2@broadridge.com](mailto:ReorgClassActions2@broadridge.com)>  
**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Subject:** Geron Securities Litigation - Undeliverable Notices and Request for Updated Information - EMAIL B12

**EXTERNAL EMAIL**

Dear RADHAKRISHNA PUTCHA at Broadridge:

We recently realized that there is a problem with the mailing address and/or other data you sent to Epiq earlier this year in connection with the process for the Original Class Notices in the Geron Securities Litigation matter (i.e., notice of certification of the Class for litigation purposes back in the Spring of 2022).

**WE NEED YOU TO CORRECT THE PROBLEM AND RESPOND TO US IN WRITING BY NOVEMBER 10, 2022.**

***WHY IS THIS OUTREACH BEING MADE TO MY FIRM/ENTITY?:***

Since the last time you provided the mailing address and/or other data to Epiq for the Geron Securities Litigation matter in connection with the Original Class Notices, there has been a proposed settlement in the action for which a Settlement Notice and Claim Form ("Settlement Packets") need to be mailed to potential Class members through the same process as was undertaken previously.

On October 28, 2022, we mailed you the Settlement Packets for you to mail within seven days of receipt to the potential Class members on whose behalf you hold Geron common stock. As detailed in the letter we sent with the Settlement Packets (attached hereto for reference), if in connection with the Original Class Notice you elected the option for Epiq to mail the Original Class Notice, Epiq will again mail the Settlement Packets to that same set of addresses. **DUE, HOWEVER, TO THE INCORRECT DATA YOU SENT US BEFORE, WE HAVE EXPERIENCED UNDELIVERABLE MAIL ON THE PRIOR ORIGINAL CLASS NOTICE MAILING, AND WE NEED A RESPONSE FROM YOU BY NOVEMBER 10, 2022, IN WHICH YOU EXPLAIN WHY THE DATA WAS WRONG AND SUBMIT THE CORRECT DATA** to prevent additional delays to notifying Class members of the Settlement.

***WHY DOES EPIQ NEED OUR RESPONSE AND CORRECTIONS BY NOVEMBER 10, 2022?:***

Timely corrections are imperative because not only does EPIQ have a deadline by Court order to complete the mailings BUT ALSO because the deadline for beneficial owners to file a Claim Form is February 16, 2023, at midnight Pacific Time. We want to be certain that all potential Class Members timely receive the Settlement Packets by First-Class Mail.

***WHAT WAS WRONG WITH THE DATA WE PROVIDED BEFORE?:***

As noted, a large number of the earlier Original Class Notices (prior to the settlement) were returned as undeliverable using addresses you provided to Epiq. We need you to check the data and addresses you provided to us, and in particular, check if you mismatched the street address with the city, state and zip code. Please send the updated data after you have confirmed its accuracy and that the mailing lists are accurate to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Given that you have a client relationship with these beneficial holders, we first recommend checking your internal files, but you may also need to check with independent sources such as the National Change of Address Registry or other sources for updated information. A password protected spreadsheet with the incorrect data you provided before is

attached. Password will follow in a separate email. IF YOU ARE UNABLE OR UNWILLING TO PROVIDE NEW AND CORRECT DATA BY NOVEMBER 10, 2022, PLEASE TELL US WHY IN WRITING BY NOVEMBER 10, 2022.

**WHAT HAPPENS IF I DO NOT OR CANNOT RESPOND BY NOVEMBER 10, 2022?**

Your noncompliance may be reported at an appropriate time to the Court. Please be aware that the Court may require information from your firm or entity directly.

Please be further advised that the Court may deny any potential reimbursement to you for mailings using incorrect addresses.

**WHAT ELSE SHOULD WE DO?**

Because the issue has appeared in the data you provided Epiq for the mailings it is handling under the option you previously selected, we are concerned you may have the same issue in connection with mailings of the Class notice you decided to undertake directly to beneficial owners earlier this year in the Original Class Notices. In other words, if you provided Epiq wrong data, we are concerned the issue may also impact the data you used for the mailings you did directly for the Original Class Notices or now, for the Settlement Packets. Thus, you should also check the data you have for the mailings and confirm in writing to Epiq within five (5) business days of the date of this email that you have checked the data for mailings you are doing directly, that it is accurate, and then send that data to Epiq for our records as well. Please send this data separately from the above requested data to [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

Epiq's contact information is set forth above, and you may review information about the Settlement Notice, Claim Form, and other details at: [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com). If you have any questions, you can reach out to Grant Lambert at 503-207-3661 or at [grant.lambert@epiqglobal.com](mailto:grant.lambert@epiqglobal.com).

Sincerely,  
Claims Administrator  
Geron Securities Litigation

This message and any attachments are intended only for the use of the addressee and may contain information that is privileged and confidential. If the reader of the message is not the intended recipient or an authorized representative of the intended recipient, you are hereby notified that any dissemination of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by e-mail and delete the message and any attachments from your system.

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This message and any attachments are intended only for the use of the addressee and may contain information that is privileged and confidential. If the reader of the message is not the intended recipient or an authorized representative of the intended recipient, you are hereby notified that any dissemination of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by e-mail and delete the message and any attachments from your system.

# EXHIBIT I-1

**From:** [DG-CL Securities Transfer](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Cc:** [DG-CL Securities Transfer](#)  
**Subject:** Geron Corp.  
**Date:** Wednesday, November 2, 2022 7:49:21 AM  
**Attachments:** [image001.png](#)  
[Geron Corporation.xlsx](#)

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Good morning,

There is no change from the list of names and addresses sent back on June 2, 2022, I have attached a copy of what was sent.

Thank you!



**Julie Gilmore**

Securities Services Associate

**StoneX Financial, Inc.**

NASDAQ: SNEX

O: +1 205 414 7312 F: +1 205 868 6762

[www.stonex.com](http://www.stonex.com)

[Julie.Gilmore@stonex.com](mailto:Julie.Gilmore@stonex.com)

2 Perimeter Park South, Suite 100W  
Birmingham, AL 35243

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# **EXHIBIT I-2**

**From:** [DG-CL Securities Transfer](#)  
**To:** [info\\_GeronSecuritiesLitigati](#); [DG-CL Securities Transfer](#)  
**Subject:** RE: Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 12:31:29 PM  
**Attachments:** [image001.png](#)  
[Geron Corporation.xlsx](#)

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Good afternoon,

The attached was sent to your company on 11/02/2022. Thank you and have a nice day!

Thank you!



**Julie Gilmore**

Securities Services Associate

**StoneX Financial, Inc.**

NASDAQ: SNEX

O: +1 205 414 7312 F: +1 205 868 6762

[www.stonex.com](http://www.stonex.com)

[Julie.Gilmore@stonex.com](mailto:Julie.Gilmore@stonex.com)

2 Perimeter Park South, Suite 100W

Birmingham, AL 35243

---

**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Sent:** Friday, December 16, 2022 1:05 PM  
**To:** DG-CL Securities Transfer <DG-CLSecuritiesTransfer@StoneX.com>  
**Subject:** Geron Securities Class Action Litigation - Follow Up

Dear Nominee INTL FCStone Financial Inc,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses

already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

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# EXHIBIT J

## Amin-Giwner, Stephanie

---

**From:** kellidixon@northwesternmutual.com  
**Sent:** Thursday, November 3, 2022 5:04 PM  
**To:** info\_GeronSecuritiesLitigati  
**Subject:** Re: Geron Corporation {Secure Message} {Secure Message}  
**Attachments:** GenericScan#25622\_1\_445387\_20221101\_124811\_0004 (002)(6887772.1).pdf; Name and Address Listing for Geron Corporation(6887769.1).xlsx

**Follow Up Flag:** Follow up  
**Flag Status:** Completed

**Categories:** Purple category

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Hello!

Attached is the name and address information for four (4) beneficial owners in regard to Geron Corporation that will need notice and claim forms. Northwestern Mutual Investment Services LLC received the attached notice.

Thank you,

**Kelli M. Dixon**  
Legal Administrative Assistant

720 East Wisconsin Avenue  
Milwaukee, WI 53202  
P: 414.665.3994  
F: 414.625.3994



This e-mail and any attachments may contain confidential information of Northwestern Mutual. If you are not the intended recipient of this message, be aware that any disclosure, copying, distribution or use of this e-mail and any attachments is prohibited. If you have received this e-mail in error, please notify Northwestern Mutual immediately by returning it to the sender and delete all copies from your system. Please be advised that communications with {SECURE MESSAGE} in the subject line have been sent using a secure messaging system. Communications that do not have this tag may not be secure and could be observed by a third party. Our commitment to privacy: At Northwestern Mutual, your privacy is important to us. For more information about our privacy practices, please review our [privacy notices](#).

# EXHIBIT K

## Amin-Giwner, Stephanie

---

**From:** Marrero, Lillian <lillian.marrero@bnymellon.com>  
**Sent:** Thursday, November 3, 2022 3:14 PM  
**To:** Lambert, Grant; Securities Inbox  
**Cc:** Pershing Class Actions  
**Subject:** Geron Corporation Class Action  
**Attachments:** Geron Corporation Administrator File.xlsx

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**Re: Geron Corporation**  
**CUSIP No. 374163103**

We are in receipt of your Notice of Class Action regarding the above-referenced securities requesting that we provide name and address information for those who purchased or held these securities through our firm (or cleared by our firm) during the period of March 19, 2018 through September 26, 2018.

Attached is a protected file with Excel Spreadsheets containing information for the purchasers with names and addresses during the above referenced time period(s). It is our understanding that you will utilize the information to forward a copy of the Notice to each holder.

Based on Eisen v. Carlisle & Jacquelin, 417 U.S. 156 (1974), and other applicable law, Pershing is entitled to the reimbursement for the reasonable expenses incurring in searching our computer records to produce the requested records. The cost is \$ 200.00 for each calendar year or part thereof for the first securities issue (CUSIP#) plus \$20.00 per year for each additional securities issue. In this case, Pershing will charge a flat fee of \$35.00. Accordingly, please forward a check for \$35.00 to:

Pershing LLC  
One Pershing Plaza, 7th Fl.  
Jersey City, NJ 07399  
Attn: Joseph Lavara

Your utilization of the attached information will constitute your agreement to reimburse for the above-referenced expenses incurred in connection with our response to your request.

Regards,  
Lillian Marrero  
Corporate Actions  
BNY Mellon | Pershing  
T 321 249 4111  
[lillian.marrero@bnymellon.com](mailto:lillian.marrero@bnymellon.com)

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\*\*\*\*\*

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# EXHIBIT L

**Amin-Giwner, Stephanie**

**From:** Smith, Michael (Investment Services-Risk & Rvw) <Michael.Smith4@bankofthewest.com>  
**Sent:** Friday, November 4, 2022 10:37 AM  
**To:** info\_GeronSecuritiesLitigati  
**Cc:** BWIS Ops Risk  
**Subject:** Geron Class Action  
**Attachments:** Geron Class Action.xlsx

**Follow Up Flag:** Follow up  
**Flag Status:** Flagged

**Categories:** Purple category

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hello,

The attached is a list of our accounts for class action No. 3:20-cv-00547-WHA. The attachment is password protected. I will send another email containing the password. Thanks

**Michael Smith**

BWIS Operational Risk Analyst, Officer

BancWest Investment Services  
 13220 California Street  
 Omaha, NE 68154  
 Office T 402.918.4050  
[michael.smith4@bankofthewest.com](mailto:michael.smith4@bankofthewest.com)



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**Investment and Insurance Products:**

NOT FDIC INSURED	NOT BANK GUARANTEED	MAY LOSE VALUE	NOT A DEPOSIT	NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY
------------------	---------------------	----------------	---------------	--

Classification: Internal

# EXHIBIT M

## Amin-Giwner, Stephanie

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**From:** Nina Vincent <nina.vincent@stephens.com>  
**Sent:** Monday, November 14, 2022 1:59 PM  
**To:** info\_GeronSecuritiesLitigati  
**Cc:** Nina Vincent  
**Subject:** Class Action - Geron Corp.  
**Attachments:** Geron Corp..xlsx  
  
**Categories:** Purple category

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Attached you will find a listing of customers of Stephens Inc. who may be able to participate in the class action. This file is password protected. The password will be sent separately.

If you have questions feel free to contact me.  
Thanks,  
Nina Vincent

### Nina Vincent

Assistant Compliance Officer / Internal Auditor  
Compliance Department  
o: 501-377-2155 (800-643-9691)  
c: 501-912-9199  
[nina.vincent@stephens.com](mailto:nina.vincent@stephens.com)

### Stephens

111 Center Street, Suite 900 Little Rock, AR 72201-4451  
[www.stephens.com](http://www.stephens.com)  
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# EXHIBIT N

## Amin-Giwner, Stephanie

---

**From:** Molly McAllister <MMcAllister@ktmc.com>  
**Sent:** Friday, November 18, 2022 5:09 PM  
**To:** info\_GeronSecuritiesLitigati  
**Cc:** Sally Huggins  
**Subject:** Geron Corporation (2020) (N.D. Cal.)  
**Attachments:** Geron Corporation (2020) (N.D. Cal.).XLSX  
  
**Categories:** Purple category

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Good Afternoon,

Attached please find a list of investors in connection with the class action Geron Corporation (2020) (N.D. Cal.). Please send the appropriate Settlement Notice and Proof of Claim form to everyone on the attached list. If you are unable to include these investors with your Notice distribution, please notify me immediately.

In addition, please confirm your receipt of this email and request so that I can properly document our files.

I greatly appreciate your assistance.

Best,

Molly

---

**Molly McAllister, Personal Communications & Claims Specialist**



Kessler Topaz Meltzer & Check, LLP  
280 King of Prussia Rd  
Radnor, PA 19087  
Direct Dial: (610) 822-0264  
General Firm Phone: (610) 667-7706  
Fax: (610) 667-7056  
Email: mmcAllister@ktmc.com  
Internet: www.ktmc.com

PRIVILEGED ATTORNEY/CLIENT, ATTORNEY WORK PRODUCT

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# EXHIBIT O



## Amin-Giwner, Stephanie

---

**From:** noreply@GeronSecuritiesLitigation.com  
**Sent:** Monday, November 21, 2022 3:58 PM  
**To:** Nominee\_Web\_Uploads  
**Subject:** Geron Securities Litigation – Settlement Upload

### Contact Information

Claim Number: 1

Location: [\\Ca003-prfs001\CA-7\Junge v Geron Securities Settlement - 40061088\Electronic Files Received\Nominee\4727\](#)

Name: Neelam Somaiah

Address:

180 Wellington st West  
9th floor  
Toronto, PE M5J 1J1  
CAN

Business Name: RBC DOMINION SECURITIES

Phone Number: 4168428282

Email: [neelam.somaiah@rbc.com](mailto:neelam.somaiah@rbc.com)

Capacity of Person: Other

Date and Time: 11/21/2022 12:58:12 PM

Confirmation Number: PN3DOPMV

# EXHIBIT P-1

**From:** [info\\_GeronSecuritiesLitigati](mailto:info_GeronSecuritiesLitigati)  
**To:** [classactionmailingservice@broadridge.com](mailto:classactionmailingservice@broadridge.com)  
**Subject:** Julia Junge and Richard Junge v. Geron Corporation and John A. Scarlett, No. 3:20-cv-00547-WHA (DMR) - Notice of Proposed Settlement  
**Date:** Friday, October 28, 2022 4:15:00 PM

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### **Notice of Proposed Settlement**

The purpose of this Notice is to inform you of a class action settlement resolved in the United States District Court for the Northern District of California (the "Court") under *Junge v. Geron Corp. et al.*, Case No. 3:20-cv-00547-WHA (the "Action") against Geron Corporation ("Geron") and Individual Defendant John A. Scarlett (collectively, "Defendants"). The Settlement Notice describes important rights you may have and what steps you must take if you wish to participate in the Settlement or wish to be excluded from the Class. The Proof of Claim and Release Form details what information needs to be provided to participate in the Settlement.

The links to both the Settlement Notice and Proof of Claim and Release Form can be found below. You may also contact us if you would like the Settlement Notice and Proof of Claim and Release Form mailed to you directly.

Settlement Notice:

<https://GeronSecuritiesLitigation.com/Home/Documents>

Proof of Claim and Release Form:

<https://GeronSecuritiesLitigation.com/Home/SubmitClaim>

For more information about the Action and your rights in this Action, please visit the Geron Securities Litigation Website at <http://www.GeronSecuritiesLitigation.com/> or contact the Administrator via toll-free number (844) 754-5537.

**Please do not call or write the Court. If you have questions after reading this Settlement Notice, you should contact the Claims Administrator or Lead Counsel, as discussed in the Settlement Notice.**

Claims Administrator

Geron Securities Litigation

# EXHIBIT P-2

## Amin-Giwner, Stephanie

---

**From:** Class Action Mailing Service <ClassActionMailingService@Broadridge.com>  
**Sent:** Friday, January 20, 2023 3:09 PM  
**To:** Lambert, Grant; Class Action Mailing Service  
**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161

Hi Grant,

Job N80161 completed on 12/9 and jobs N79471 and N79472 completed on 12/12/22.

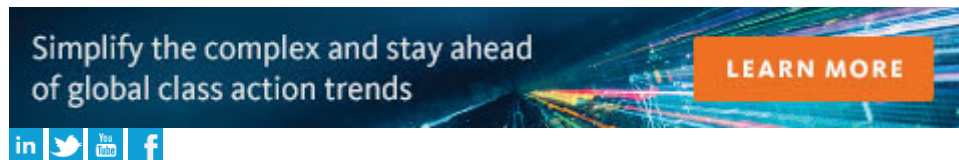
Thanks and Regards,

Denise Macejko | Senior Client Project Administrator, Corporate Actions | Broadridge Financial Solutions, Inc.  
51 Mercedes Way | Edgewood, NY 11717 | USA | p +1 631-274-2783 | Email [denise.macejko@broadridge.com](mailto:denise.macejko@broadridge.com)

**MATERIAL DELIVERY ADDRESS (PACKING SLIP & JOB # REFERENCE REQUIRED):**

Attn: Corporate Actions | Broadridge | 51 Mercedes Way | Edgewood, NY 11717

**\*\*Note:** Materials for different events CANNOT be mixed in boxes or on skids.



[broadridge.com](http://broadridge.com)

---

**From:** Lambert, Grant <glambert@epiqglobal.com>  
**Sent:** Friday, January 20, 2023 2:37 PM  
**To:** Class Action Mailing Service <ClassActionMailingService@Broadridge.com>  
**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161  
**Importance:** High

**EXTERNAL EMAIL**

Hello Broadridge Team,

Quick question – what date did you mail these on?

---

**From:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>  
**Sent:** Wednesday, January 18, 2023 8:10 AM  
**To:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>; Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161

Good Morning Grant,

We disseminated a total of 45,352 notices on behalf of our clients which were listed below in our material request email. We also distributed for Morgan Stanley (050).

If you are looking for more than our list of bank/broker names, we cannot provide you with the actual list of shareholder names the notices were sent to.

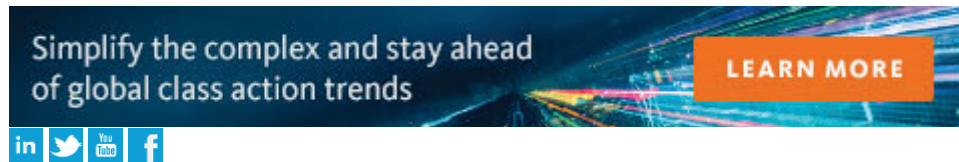
Thanks and Regards,

Denise Macejko | Senior Client Project Administrator, Corporate Actions | Broadridge Financial Solutions, Inc.  
51 Mercedes Way | Edgewood, NY 11717 | USA | p +1 631-274-2783 | Email [denise.macejko@broadridge.com](mailto:denise.macejko@broadridge.com)

**MATERIAL DELIVERY ADDRESS (PACKING SLIP & JOB # REFERENCE REQUIRED):**

Attn: Corporate Actions | Broadridge | 51 Mercedes Way | Edgewood, NY 11717

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[broadridge.com](http://broadridge.com)

---

**From:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Sent:** Tuesday, January 17, 2023 7:50 PM

**To:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161

**EXTERNAL EMAIL**

Hello Broadridge Team,

I hope you are well.

At the request of Class Counsel can you please confirm the number of Notices disseminated as well as a list of class member you sent the Notice to.

Please provide by 1/24/23.

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

---

**From:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>

**Sent:** Wednesday, November 23, 2022 6:25 AM

**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; Lambert, Grant  
<[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Subject:** Material Request: GERON CORPORATION Job # N79471 N79472 N80161

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hello,

Please send 47,780 sets of the Class Action litigation material for GERON CORPORATION and reference Job # N79471 N79472 N80161.

Please note, we did not receive approval for e-delivery reimbursement. If e-delivery reimbursement can be made available for the approximate 22,737 emails, we would only require 25,043 copies of material to complete our request.

**\*\*NOTE: You must include a packing slip. Please review the attached document for delivery guidelines and packing instructions. Materials for different events cannot be mixed together in boxes or on skids. If the materials are already inserted into an outgoing envelope, please ensure the envelope is sealed.\*\***

**Clients being Serviced:**

BMO NESBITT BURNS  
WELLS FARGO SECURITIES  
MORGAN STANLEY WM  
WEDBUSH SECURITIES (103 ENTITY)  
WELLS FARGO CLEARING  
NOMURA  
TD AMERITRADE  
RBC  
U.S. BANCORP  
STIFEL  
J.P. MORGAN SECURITIES  
D.A. DAVIDSON & CO.  
EDWARD JONES  
E\*TRADE  
R.W. BAIRD  
RAYMOND JAMES  
NATIONAL FINANCIAL SERVICES  
LPL FINANCIAL  
BARCLAYS  
VANGUARD  
AMERIPRISE  
SCOTIABANK  
BANQUE SCOTIA  
VISION FINANCIAL  
TRADESTATION  
MURIEL, SIEBERT, & CO.  
DEUTSCHE BANK  
MERRILL LYNCH

Please note, we are still awaiting a response from Morgan Stanley (050) and may submit an additional order on their behalf.

Kindly confirm receipt of this request at your nearest convenience, and how many copies we should expect to deliver. If e-delivery is approved, please advise which link/label combination should be leveraged.

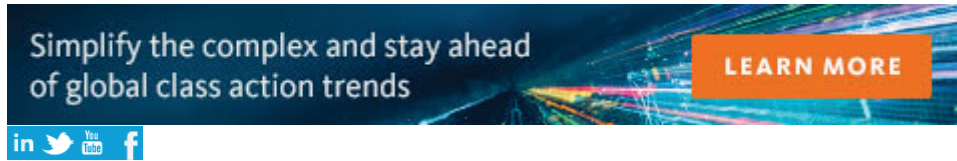
Thanks and Regards,

Denise Macejko | Senior Client Project Administrator, Corporate Actions | Broadridge Financial Solutions, Inc.  
51 Mercedes Way | Edgewood, NY 11717 | USA | p +1 631-274-2783 | Email [denise.macejko@broadridge.com](mailto:denise.macejko@broadridge.com)

**MATERIAL DELIVERY ADDRESS (PACKING SLIP & JOB # REFERENCE REQUIRED):**

Attn: Corporate Actions | Broadridge | 51 Mercedes Way | Edgewood, NY 11717

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# EXHIBIT Q

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [IM-ClassActions@alliancebernstein.com](mailto:IM-ClassActions@alliancebernstein.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:34:01 PM

---

Dear Nominee Alliance Bernstein,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

.

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [MELODY@ALLIANTSECURITIES.COM](mailto:MELODY@ALLIANTSECURITIES.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:38:30 PM

---

Dear Melody/Nominee Alliant Securities,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [JSPROUSE@BBTSECURITIES.COM](mailto:JSPROUSE@BBTSECURITIES.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:44:35 PM

---

Dear J. Sprouse/Nominee BB&T Securities,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [phuthorn.penikett@bmonb.com](mailto:phuthorn.penikett@bmonb.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:51:13 PM

---

Dear Nominee BMO,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [Avila, Wendy](#)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:53:39 PM

---

Dear Wendy/Nominee CIBC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [reorgclassaction@citi.com](mailto:reorgclassaction@citi.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:55:45 PM

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Dear Nominee Citigroup,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [COPORATE.ACTION@CORCLEARING.COM](mailto:COPORATE.ACTION@CORCLEARING.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:58:06 PM

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Dear Nominee COR Clearing LLC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator



**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [dgyger@dadco.com](mailto:dgyger@dadco.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 1:59:40 PM

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Dear Nominee DA Davidson,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:03:51 PM

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Dear Nominee Goldman Sachs,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [BRETT.BROWN@EDWARDJONES.COM](mailto:BRETT.BROWN@EDWARDJONES.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:00:55 PM

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Dear Brett/Nominee Edward Jones,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [DG-CLSECURITIESTRANSFER@INTLFCSTONE.COM](mailto:DG-CLSECURITIESTRANSFER@INTLFCSTONE.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:05:02 PM

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Dear Nominee INTL FCStone Financial Inc,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [Zz-Janney Montgomery Scott LLC](#)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:06:29 PM

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Dear Nominee Janney Montgomery Scott LLC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [jpm.usso.class.actions@jpmorgan.com](mailto:jpm.usso.class.actions@jpmorgan.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:08:44 PM

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Dear Nominee JP Morgan,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [PB.Class.Actions@jpmorgan.com](mailto:PB.Class.Actions@jpmorgan.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:09:56 PM

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Dear Nominee JP Morgan Clearing Corp,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [KBCM\\_ACCOUNT\\_SERVICES@KEYBANK.COM](mailto:KBCM_ACCOUNT_SERVICES@KEYBANK.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:11:27 PM

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Dear Nominee Keybank Capital Markets,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator



**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [CWORSLEY@MACKIERESEARCH.COM](mailto:CWORSLEY@MACKIERESEARCH.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:13:16 PM

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Dear C. Worley/ Nominee Mackie Research Capital Corporation,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [DLyne@mesirowfinancial.com](mailto:DLyne@mesirowfinancial.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:14:57 PM

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Dear Mesirow Financial Inc,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [akrasner@needhamco.com](mailto:akrasner@needhamco.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:16:40 PM

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Dear Nominee Needham & Company LLC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [heatherschuh@northwesternmutual.com](mailto:heatherschuh@northwesternmutual.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:18:37 PM

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Dear Nominee Northwestern Mutual,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [ASSETMAINTENANCE@PENSCO.COM](mailto:ASSETMAINTENANCE@PENSCO.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:20:41 PM

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Dear Nominee Pensco Trust Company,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [ANNAMARIA.L.HERNANDEZ@PJC.COM](mailto:ANNAMARIA.L.HERNANDEZ@PJC.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:22:28 PM

---

Dear Annamaria/ Nominee Pipper Jaffray,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [ELAINE.MULLEN@RAYMONDJAMES.COM](mailto:ELAINE.MULLEN@RAYMONDJAMES.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:24:20 PM

---

Dear Elaine/ Nominee Raymond Jones,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [steve.schafer@rbc.com](mailto:steve.schafer@rbc.com); [DEBORAH.NICHOLAS@RBC.COM](mailto:DEBORAH.NICHOLAS@RBC.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:26:03 PM

---

Dear Steve and Deborah/ Nominee RBC Capital Markets LLC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator



**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [BVOGEL@SCOTTRADE.COM](mailto:BVOGEL@SCOTTRADE.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:27:44 PM

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Dear Nominee Scottrade,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [charles.hughes@sgcib.com](mailto:charles.hughes@sgcib.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:29:19 PM

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Dear Charles/Nominee Societe Generale,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [NINA.VINCENT@STEPHENS.COM](mailto:NINA.VINCENT@STEPHENS.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:30:30 PM

---

Dear Nina/Nominee Stephens Inc,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [resmannz@stifel.com](mailto:resmannz@stifel.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:31:13 PM

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Dear Nominee Stifel Nicolaus & Company Inc,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [OFEINA.TUIHALAMAKA@STOCKCROSS.COM](mailto:OFEINA.TUIHALAMAKA@STOCKCROSS.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:32:56 PM

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Dear Nominee Stock Cross,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [GFLEMING@SFMLP.COM](mailto:GFLEMING@SFMLP.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:33:56 PM

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Dear Nominee Systematic Financial Management LP,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [usbiireorgincome@usbank.com](mailto:usbiireorgincome@usbank.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:34:53 PM

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Dear Nominee US Bancorp Investments,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [Carmen.Rivera@wedbush.com](mailto:Carmen.Rivera@wedbush.com)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:35:50 PM

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Dear Carmen/Nominee Wedbush,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator



**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [APRIL.POWERS2@WELLSFARGO.COM](mailto:APRIL.POWERS2@WELLSFARGO.COM)  
**Subject:** Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:37:15 PM

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Dear April/ Nominee Wells Fargo,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,  
*Susanna W.*  
Geron Securities Settlement Administrator

# EXHIBIT R

**From:** [Campos, Stephanie](#)  
**To:** [info\\_GeronSecuritiesLitigati](#); [IM-ClassActions](#)  
**Subject:** RE: Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:47:50 PM  
**Attachments:** [image001.png](#)

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Hello,

Thank you for reaching out.

We are aware of the upcoming Geron Securities Class Action Litigation and will be filing on behalf of affected eligible accounts.

Best regards,

**Stephanie Campos**

AO/Class Actions & Proxy Team Leader

T +1 210 384 6808

[Stephanie.Campos@AllianceBernstein.com](mailto:Stephanie.Campos@AllianceBernstein.com)



8000 IH 10 W 5<sup>th</sup> Floor  
San Antonio, TX 78230

[AllianceBernstein.com](https://www.AllianceBernstein.com)

[Twitter](#) | [LinkedIn](#) | [YouTube](#) | [Facebook](#)

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**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Sent:** Friday, December 16, 2022 12:34 PM  
**To:** IM-ClassActions <IM-ClassActions@alliancebernstein.com>  
**Subject:** Geron Securities Class Action Litigation - Follow Up

*External Email. Use caution when clicking links or opening file attachments.*

Dear Nominee Alliance Bernstein,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

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For further important information about AllianceBernstein please click here  
<http://www.alliancebernstein.com/disclaimer/email/disclaimer.html>

**EXHIBIT S**

**From:** [Melody Grinnell](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Subject:** RE: Geron Securities Class Action Litigation - Follow Up  
**Date:** Wednesday, December 21, 2022 12:24:26 PM

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We had no purchases during the class period. Thanks.

We had responded 6/15/22.

**Melody Grinnell| Operations| Alliant Securities**  
**695 N Legacy Ridge Drive Suite 300**  
**Liberty Lake WA 99019**  
**Phone : 509-747-9144 Toll Free: 800-345-9734 Fax 509-623-1543**  
**Email: [melody@alliantsecurities.com](mailto:melody@alliantsecurities.com)**

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**From:** [info\\_GeronSecuritiesLitigati](#) <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Sent:** Friday, December 16, 2022 10:39 AM  
**To:** Melody Grinnell <[melody@alliantsecurities.com](mailto:melody@alliantsecurities.com)>  
**Subject:** Geron Securities Class Action Litigation - Follow Up

Dear Melody/Nominee Alliant Securities,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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Best,

*Susanna W.*

Geron Securities Settlement Administrator

# EXHIBIT T



## Amin-Giwner, Stephanie

---

**From:** Sprouse, Jesse <Jesse.Sprouse@truist.com>  
**Sent:** Tuesday, December 20, 2022 2:57 PM  
**To:** info\_GeronSecuritiesLitigati  
**Subject:** RE: Geron Securities Class Action Litigation - Follow Up [-Private-]

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Data Risk Classification: [-Private-]

Good afternoon,

We responded to the notice via secure email on 6/6/22.

Thank you

*Jesse Sprouse*

Officer

Securities Processing Specialist | Truist Investment Services, Inc

Truist Wealth

1001 Semmes Ave., 3<sup>rd</sup> Fl., Richmond, VA 23224-2245

Mail Code: 306-40-03-62

Phone: 804-253-6424

Email: [jesse.sprouse@truist.com](mailto:jesse.sprouse@truist.com)

---

**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Sent:** Friday, December 16, 2022 1:45 PM  
**To:** Sprouse, Jesse <Jesse.Sprouse@truist.com>  
**Subject:** Geron Securities Class Action Litigation - Follow Up

Dear J. Sprouse/Nominee BB&T Securities,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

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If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

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# EXHIBIT U

**From:** [Penikett, Phuthorn](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Subject:** RE: Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:33:05 PM

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hi,

We use Broadridge U.S. for our class mailings, submissions and notifications. They had already mailed the notices to our clients.

Regards,

---

**Phuthorn Penikett**

Senior Class Action Service Representative  
Asset Services & Client Reporting / Services d'actifs et rapports clients

**North American Personal & Business Banking and Wealth Management Operations (B2C Operations)**

250 Yonge St. 14th Floor  
Toronto ON M5B 2M8

[phuthorn.penikett@bmonb.com](mailto:phuthorn.penikett@bmonb.com)

T 416-552-7103

F 416-552-7951

**December 28 – January 2, 2023**

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**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>

**Sent:** December 16, 2022 1:51 PM

**To:** Penikett, Phuthorn <Phuthorn.Penikett@bmonb.com>

**Subject:** Geron Securities Class Action Litigation - Follow Up

**External Email:** Use caution with links and attachments. | **Courriel externe :** Faites preuve de prudence en ce qui a trait aux liens et aux pièces jointes.

Dear Nominee BMO,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed

Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

# EXHIBIT V

**From:** Nicastro, Jerry <[jerry.nicastro@cibc.ca](mailto:jerry.nicastro@cibc.ca)>  
**Sent:** Wednesday, January 18, 2023 6:11 AM  
**To:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Subject:** RE: MAILING MATERIALS REQUEST, re: Sealed Air Securities Litigation

Hello Grant

The mailing was completed on Jan. 9, 2023 to 200 beneficial owners whom have been identified as potentially eligible class members.

As you can appreciate, as a bank, we secure our valued clients' private information, for which I/we cannot provide to external persons/parties.

If we were permitted to disclose identities and mailing addresses, we would have opted for the more convenient option of provide your office with the data in order to fulfill the mailing at your end directly.

Jerry Nicastro | Sr. Specialist, Operations Management | Operations Transformation | Infrastructure | TI&I |  
Toronto, Ontario | Tel: 416-956-3762 | [Jerry.Nicastro@CIBC.ca](mailto:Jerry.Nicastro@CIBC.ca)



Our purpose: To help make your ambition a reality

This message, including attachments, is confidential and may be privileged. If you received this in error, please notify me by reply email and delete this message.

**From:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>  
**Sent:** Tuesday, January 17, 2023 7:51 PM  
**To:** Nicastro, Jerry <[jerry.nicastro@cibc.ca](mailto:jerry.nicastro@cibc.ca)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Subject:** RE: MAILING MATERIALS REQUEST, re: Sealed Air Securities Litigation

[EXTERNAL]

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Hello Jerry,

I am writing to follow up on the CIBC request for Notices in the Geron Securities Settlement.

At the request of Class Counsel can you please confirm the number of Notices disseminated as well as a list of class member you sent the Notice to.

Please provide by 1/24/23.

**Grant Lambert**

Epiq | Project Director  
10300 SW Allen Blvd  
Beaverton, OR 97005  
Mobile: 503 207 3661  
Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)



**From:** Nicastro, Jerry <[jerry.nicastro@cibc.ca](mailto:jerry.nicastro@cibc.ca)>  
**Sent:** Tuesday, January 3, 2023 11:44 AM  
**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Subject:** MAILING MATERIALS REQUEST, re: Sealed Air Securities Litigation  
**Importance:** High

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Hello

RE:

Geron Securities Litigation  
Julia Junge and Richard Junge v. Geron Corporation and John A. Scarlett, No. 3:20-cv-00547-WHA (DMR)

We choose to distribute the Notice and Proof of Claim ourselves, thus seeking to obtain from the Claims Administrator (without cost to us) as many additional copies of these documents as we require to fulfill a mailing.

Further, we will seek to obtain reimbursement for reasonable administrative costs actually incurred in connection with forwarding the Notice and which would not have been incurred but for the obligation to forward the Notice, upon submission of appropriate documentation to the Claims Administrator.

We require **225** copies of each of the Notice and Proof of Claim. \*\* PREFERABLY POSTCARDS PLEASE \*\*

Please deliver the quantities we are requesting to the following address:

Broadridge Investor Communications Corporation  
C/O CIBC (C32)  
ATTN: Teresa Lin/Sue Pabla  
2601 – 14th Avenue  
**Markham, ON** L3R 0H9 Canada

Thank you

Jerry Nicastro | Sr. Specialist, Operations Management | Operations Transformation | Infrastructure | TI&I |  
Toronto, Ontario | Tel: 416-956-3762 | [Jerry.Nicastro@CIBC.ca](mailto:Jerry.Nicastro@CIBC.ca)



Our purpose: To help make your ambition a reality

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**ATTENTION :** This email originated outside your organization. Exercise caution before clicking links, opening attachments, or responding with personal information.

# EXHIBIT W

## Amin-Giwner, Stephanie

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**From:** Chatfield, Maureen C <maureen.c.chatfield@citi.com>  
**Sent:** Monday, February 13, 2023 12:21 PM  
**To:** info\_GeronSecuritiesLitigati  
**Cc:** \*CTS TPA Class Actions  
**Subject:** (SECURE) RE: Geron Litigation  
**Attachments:** [ENCRYPTED] message.pdf; claim form.pdf-COMplete (003 geron).pdfMV.pdf; Nominee E-Claim Template (22).xlsx; [ENCRYPTED] attachments.pdf

**Follow Up Flag:** Follow up  
**Flag Status:** Completed

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### [↑ Citi Secure Email Center](#)



#### You have received a Secure PDF message from the Citi Secure Email Server

Open the PDF file attached to this notification. When prompted, enter your Secure PDF password to view the message contents.

To reply to this message in a secure manner, it is important that you use the Reply link inside the Secure PDF file. This will ensure that any confidential information is sent back securely to the sender.

To recover the Secure PDF passphrase history or reset your passphrase, please go to the [Citi Secure Email: Secure PDF Password Recovery/Reset Request page](#)

#### Opening Encrypted PDF Messages

- NEW: Citi Secure Email now supports any native PDF reader on your device.
- Open the Encrypted PDF attached to this email and enter your Secure PDF passphrase when prompted.
- Attachments for the message are also encrypted. Enter your Secure passphrase when prompted to open the attachments.

If you have any questions or concerns about the Citi products you have either purchased or intend to purchase, please reach out to your Citi contact/financial advisor.

If you are not able to open/read the attached PDF document or have other issues related to using secure mail, help is available 24 hours a day by calling 1-866-535-2504 (inside U.S.) or International users call 1-904-954-6181 (collect calls accepted) or by email at [secure.emailhelp@citi.com](mailto:secure.emailhelp@citi.com).

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# EXHIBIT X

**Amin-Giwner, Stephanie**

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**From:** info\_GeronSecuritiesLitigati  
**Sent:** Friday, December 16, 2022 1:58 PM  
**To:** COPORATE.ACTION@CORCLEARING.COM  
**Subject:** Geron Securities Class Action Litigation - Follow Up

Dear Nominee COR Clearing LLC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

**Amin-Giwner, Stephanie**

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**From:** postmaster@corclearing.com  
**Sent:** Friday, December 16, 2022 1:59 PM  
**To:** info\_GeronSecuritiesLitigati  
**Subject:** Undeliverable: Geron Securities Class Action Litigation - Follow Up  
**Attachments:** Undeliverable: Geron Securities Class Action Litigation - Follow Up

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**Amin-Giwner, Stephanie**

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**From:** postmaster@corclearing.com  
**To:** COPORATE.ACTION@CORCLEARING.COM  
**Sent:** Friday, December 16, 2022 1:59 PM  
**Subject:** Undeliverable: Geron Securities Class Action Litigation - Follow Up



Your message to [COPORATE.ACTION@CORCLEARING.COM](mailto:COPORATE.ACTION@CORCLEARING.COM) couldn't be delivered.

**COPORATE.ACTION** wasn't found at  
[corclearing.com](http://corclearing.com).

<b>info</b>	<b>Office 365</b>	<b>COPORATE.ACTION</b>
<b>Action Required</b>		Recipient
Unknown To address		

## How to Fix It

The address may be misspelled or may not exist. Try one or more of the following:

- Send the message again following these steps: In Outlook, open this non-delivery report (NDR) and choose **Send Again** from the Report ribbon. In Outlook on the web, select this NDR, then select the link "**To send this message again, click here.**" Then delete and retype the entire recipient address. If prompted with an Auto-Complete List suggestion don't select it. After typing the complete address, click **Send**.
- Contact the recipient (by phone, for example) to check that the address is correct.
- The recipient may have set up email forwarding to an incorrect address. Ask them to check that any forwarding they've set up is working correctly.
- Clear the recipient Auto-Complete List in Outlook or Outlook on the web by following the steps in this article: [Fix email delivery issues for error code 5.1.1 in Office 365](#), and then send the message again. Retype the entire recipient address before selecting **Send**.



Was this helpful? [Send feedback to Microsoft.](#)

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## More Info for Email Admins

Status code 554 5.4.14

Typically this error occurs because the recipient email address is incorrect or doesn't exist at the destination domain. This can usually be fixed by the sender. However, sometimes the issue needs to be fixed by the recipient or the recipient's email admin. If the steps in the **How to Fix It** section above don't fix the problem, and you're the email admin for the recipient, try one or more of the following:

**The email address exists and is correct** - Confirm that the recipient address exists, is correct, and is accepting messages.

**Synchronize your directories** - If you have a hybrid environment and are using directory synchronization make sure the recipient's email address is synced correctly in both Office 365 and in your on-premises directory.

**Errant forwarding rule** - Check for forwarding rules that aren't behaving as expected. A forwarding rule can be configured by an admin via mail flow rules or mailbox forwarding address settings, or by the recipient via the Inbox Rules feature.

**Mail flow settings and MX records are not correct** - Misconfigured mail flow settings or MX records can cause this error. Check your Office 365 mail flow settings to make sure your domain and any mail flow connectors are set up correctly. Also, work with your domain registrar to make sure the MX records for your domain are configured correctly.

**Mail loop detected** - This error also indicates that the receiving organization's email settings are misconfigured, creating a mail loop when a message is sent to an address that isn't found in their directory. This usually won't disrupt mail flow for recipients that actually exist, but the recipient's email admin should fix the misconfiguration to reduce the chance of any other mail flow issues. A common cause for this loop is that the recipient's domain is configured as "Internal Relay" when it should be "Authoritative." Another common cause for the loop is that both the sender and recipient are part of the same organization, but the sender's mailbox is hosted by Office 365, while the recipient's mailbox is hosted on-premises, and an outbound connector from Office 365 to the on-premises email servers is missing or misconfigured. To fix this, the recipient's email admin should create a correctly configured outbound connector in Office 365 to route the message to the on-premises mailbox.

For more information and tips to fix this problem, see [Fix email delivery issues for error code 5.4.14 in Office 365](#).

## Original Message Details

Created Date: 12/16/2022 6:58:06 PM  
Sender Address: info@GeronSecuritiesLitigation.com  
Recipient Address: COPORATE.ACTION@CORCLEARING.COM

Subject: Geron Securities Class Action Litigation - Follow Up

## Error Details

Reported error: 554 5.4.14 Hop count exceeded - possible mail loop ATTR34  
[SN1NAM02FT0022.eop-nam02.prod.protection.outlook.com]

DSN generated by: BYAPR05MB4087.namprd05.prod.outlook.com

## Message Hops

HOP	TIME (UTC)	FROM	TO	WITH
1	12/16/2022 6:58:06 PM	CO6PR06MB7490.namprd06.prod.outlook.com	CO6PR06MB7490.namprd06.prod.outlook.com	mapi
2	12/16/2022 6:58:06 PM	CO6PR06MB7490.namprd06.prod.outlook.com	BYAPR06MB5815.namprd06.prod.outlook.com	Microsoft SMTP S cipher=TLS_ECDH
3	12/16/2022 6:58:09 PM	NAM11-DM6- obe.outbound.protection.outlook.com	DM3NAM02FT010.mail.protection.outlook.com	Microsoft SMTP S cipher=TLS_ECDH
4	12/16/2022 6:58:09 PM	DM3NAM02FT010.eop- nam02.prod.protection.outlook.com	DS7P222CA0025.outlook.office365.com	Microsoft SMTP S cipher=TLS_ECDH
5	12/16/2022 6:58:09 PM	DS7P222CA0025.NAMP222.PROD.OUTLOOK.COM	MN0PR05MB9030.namprd05.prod.outlook.com	Microsoft SMTP S cipher=TLS_ECDH
6	12/16/2022 6:58:49 PM	CY4PR02CU008-vft- obe.outbound.protection.outlook.com	BN1NAM02FT063.mail.protection.outlook.com	Microsoft SMTP S cipher=TLS_ECDH
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9	12/16/2022 6:58:53 PM	BL0PR02CU005-vft- obe.outbound.protection.outlook.com	BN1NAM02FT029.mail.protection.outlook.com	Microsoft SMTP S cipher=TLS_ECDH
10	12/16/2022 6:58:54 PM	BN1NAM02FT029.eop- nam02.prod.protection.outlook.com	BN9PR03CA0871.outlook.office365.com	Microsoft SMTP S cipher=TLS_ECDH
11	12/16/2022 6:58:54 PM	BN9PR03CA0871.namprd03.prod.outlook.com	BYAPR05MB4087.namprd05.prod.outlook.com	Microsoft SMTP S cipher=TLS_ECDH

## Original Message Headers

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ARC-Authentication-Results: i=7; mx.microsoft.com 1; spf=none (sender ip is  
40.93.11.22) smtp.rcpttodomain=corclearing.com  
smtp.mailfrom=geronsecuritieslitigation.com; dmarc=none action=none  
header.from=geronsecuritieslitigation.com; dkim=pass (signature was verified)  
header.d=epiqsystems3.onmicrosoft.com; arc=pass (0 oda=1 ltdi=1  
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dkim=[1,1,header.d=geronsecuritieslitigation.com]  
dmarc=[1,1,header.from=geronsecuritieslitigation.com])

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s=arcselector9901;

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bh=Ur3b0h/YFKDuA5t7mAe5kQM8BhNn9R8ZcB0Llghw/QI=;

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ARC-Authentication-Results: i=6; mx.microsoft.com 1; spf=none (sender ip is  
40.93.11.22) smtp.rcpttodomain=corclearing.com  
smtp.mailfrom=geronsecuritieslitigation.com; dmarc=none action=none  
header.from=geronsecuritieslitigation.com; dkim=pass (signature was verified)  
header.d=epiqsystems3.onmicrosoft.com; arc=pass (0 oda=1 ltdi=1  
spf=[1,1,smtp.mailfrom=geronsecuritieslitigation.com]  
dkim=[1,1,header.d=geronsecuritieslitigation.com]  
dmarc=[1,1,header.from=geronsecuritieslitigation.com])

Received: from BN9PR03CA0871.namprd03.prod.outlook.com (2603:10b6:408:13c::6)  
by BYAPR05MB4087.namprd05.prod.outlook.com (2603:10b6:a02:8a::30) with  
Microsoft SMTP Server (version=TLS1\_2,  
cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5880.14; Fri, 16 Dec  
2022 18:58:54 +0000

Received: from BN1NAM02FT029.eop-nam02.prod.protection.outlook.com  
(2603:10b6:408:13c:cafe::10) by BN9PR03CA0871.outlook.office365.com  
(2603:10b6:408:13c::6) with Microsoft SMTP Server (version=TLS1\_2,  
cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5924.15 via Frontend

Transport; Fri, 16 Dec 2022 18:58:54 +0000

Authentication-Results: spf=none (sender IP is 40.93.11.22)

smtp.mailfrom=GeronSecuritiesLitigation.com; dkim=pass (signature was verified) header.d=epiqsystems3.onmicrosoft.com; dmarc=none action=none header.from=GeronSecuritiesLitigation.com; compauth=pass reason=130

Received-SPF: None (protection.outlook.com: GeronSecuritiesLitigation.com does not designate permitted sender hosts)

Received: from BL0PR02CU005-vft-obe.outbound.protection.outlook.com (40.93.11.22) by BN1NAM02FT029.mail.protection.outlook.com (10.13.2.143) with Microsoft SMTP Server (version=TLS1\_2, cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5924.16 via Frontend Transport; Fri, 16 Dec 2022 18:58:53 +0000

ARC-Seal: i=5; a=rsa-sha256; s=arcselector9901; d=microsoft.com; cv=pass;

b=d0/0xTl5BgUaXEzJEKwzmHjJVa9n4cKD3hw4J5NiD1D0RxZvph19qYuCxrIpsIGm8ngs1brqPGjdZ2LtdT1KKffx8LisF1DSH4mLFyWk+lhii1pXk7c9BjNQybOec72YjOITNurzvNe0V73S8NSAzShEtslCJs99JCTzklIq4Y62dG68/Po2PXR83PaStFeVWAq1BggJtAvugX2JbFgCdSKp7RBmma9wjnB65gTg90qbzdeE1LPs9VW8Ns5Lk/apn8T/f3fx+xpuKGFw9IqN6UGJhn/VbZTGBUC0VG3PrUlJ5iNlRNUl74mdDEpWH37xP575QN98eVNE0ZWk9IQ05g==

ARC-Message-Signature: i=5; a=rsa-sha256; c=relaxed/relaxed; d=microsoft.com; s=arcselector9901;

h=From:Date:Subject:Message-ID:Content-Type:MIME-Version:X-MS-Exchange-AntiSpam-MessageData-ChunkCount:X-MS-Exchange-AntiSpam-MessageData-0:X-MS-Exchange-AntiSpam-MessageData-1;

bh=Ur3b0h/YFKDuA5t7mAe5kQM8BhNn9R8ZcB0Llghw/QI=;

b=iGXU5yGXyhypMerVxpmrtr00+sd720devyxLmwZP9XG0TKs3DZh8UiST+Dba8Mq+Uhj0xLxhjzDo3Jyi4o7BLx7pObXAxmIVIpX5Zh9JKuuCbWqa7xRm05XBn7SVJ3GhKiYI+5GAuenQByrZkkSs1SBGJRfkoNdmnokGFoWYWDLHSE2E1HjhUL6KYhRLvKKC4VtBp/NgU3ce/jmNO/GUW9ui2J9WgtXqhmlYt8G4a6712QkhLJ4Di8Y1r1WI/Vg3rp2PhCmrOiZighPJeE0/oOGOqPYe4FSXtBFcBKiuGvmZ893ErW8uvyOWPeeGmqLuafvhqUiLGnR9z0WbQzuiA==

ARC-Authentication-Results: i=5; mx.microsoft.com 1; spf=none (sender ip is 40.93.6.20) smtp.rcpttodomain=corclearing.com

smtp.mailfrom=geronsecuritieslitigation.com; dmarc=none action=none header.from=geronsecuritieslitigation.com; dkim=pass (signature was verified) header.d=epiqsystems3.onmicrosoft.com; arc=pass (0 oda=1 ltdi=1 spf=[1,1,smtp.mailfrom=geronsecuritieslitigation.com] dkim=[1,1,header.d=geronsecuritieslitigation.com] dmarc=[1,1,header.from=geronsecuritieslitigation.com])

ARC-Seal: i=4; a=rsa-sha256; s=arcselector9901; d=microsoft.com; cv=pass;

b=cv0DEmRSDPfSDvzvZsAkDQlnoL2Wy5qRzuVEaSScE0KCH53TSksi326USMX3QL3PUCACvREWRm0DlKIB1Cru3xfOTMd61Wdd2/7/AAyZi1jkiTK+iFnYpZLQUjxxfrsGdAHh+w8aGMfQ9jL/g/1Ww+SIKY/v+A+M9zCVcLZTfLPc+cGfgXq5ScjjSelBXSeEhuSdf5rtPfmQOt/SepdadTgnILBJv8j9awubeFcRRGp2TdmE7ceyGqAubQs64TZcARVg32HyGEkGzQkzMnppWKL2x4FJdIK9avcv4YQ2/u72UDiWodXqnoi5likj73AmsC0HQIzuGuqZY8YqCT9aA==

ARC-Message-Signature: i=4; a=rsa-sha256; c=relaxed/relaxed; d=microsoft.com; s=arcselector9901;

h=From:Date:Subject:Message-ID:Content-Type:MIME-Version:X-MS-Exchange-AntiSpam-MessageData-ChunkCount:X-MS-Exchange-AntiSpam-MessageData-0:X-MS-Exchange-AntiSpam-MessageData-1;

bh=Ur3b0h/YFKDuA5t7mAe5kQM8BhNn9R8ZcB0Llghw/QI=;

b=gw/2UjYkRviTW1lNpE8O2LZPZl0vcyBaeOvrIb665KWU8elG/xoY5J4XOAnSxdQBHVbdK2pCTSnESkYzZkDw8b

WmipbeYXszjogdlQQ1xT9G7qHd7NXtgw6OrIqkOLsmzVaflldPIW8RPPBZsiYdu4eGsvSBhgV97izeDvZm/yWWBzXV  
 3tjU6IilesZj9zsQZ6z1Vuk8jbV4CR9N3VTIBKtiJfy4C+M4Vieoe2ZHteZm1JI3xR56Xt04qEsd1/94BFrm9B9qH  
 UrPETMdn05bigyV4mYVfzj2mdBJW+9Jbpqv+hghs+bSvzfY+4kt7doKty+6MAVKI25IlFxrWai8Q==

ARC-Authentication-Results: i=4; mx.microsoft.com 1; spf=none (sender ip is  
 40.93.6.20) smtp.rcpttodomain=corclearing.com  
 smtp.mailfrom=geronsecuritieslitigation.com; dmarc=none action=none  
 header.from=geronsecuritieslitigation.com; dkim=pass (signature was verified)  
 header.d=epiqsystems3.onmicrosoft.com; arc=pass (0 oda=1 ltdi=1  
 spf=[1,1,smtp.mailfrom=geronsecuritieslitigation.com]  
 dkim=[1,1,header.d=geronsecuritieslitigation.com]  
 dmarc=[1,1,header.from=geronsecuritieslitigation.com])

Received: from BN1PR13CA0002.namprd13.prod.outlook.com (2603:10b6:408:e2::7)  
 by MN2PR05MB7133.namprd05.prod.outlook.com (2603:10b6:208:18a::25) with  
 Microsoft SMTP Server (version=TLS1\_2,  
 cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5880.14; Fri, 16 Dec  
 2022 18:58:49 +0000

Received: from BN1NAM02FT063.eop-nam02.prod.protection.outlook.com  
 (2603:10b6:408:e2:cafe::46) by BN1PR13CA0002.outlook.office365.com  
 (2603:10b6:408:e2::7) with Microsoft SMTP Server (version=TLS1\_2,  
 cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5944.5 via Frontend  
 Transport; Fri, 16 Dec 2022 18:58:49 +0000

Authentication-Results-Original: spf=none (sender IP is 40.93.6.20)  
 smtp.mailfrom=GeronSecuritiesLitigation.com; dkim=pass (signature was  
 verified) header.d=epiqsystems3.onmicrosoft.com; dmarc=none action=none  
 header.from=GeronSecuritiesLitigation.com; compauth=pass reason=130

Received-SPF: None (protection.outlook.com: GeronSecuritiesLitigation.com does  
 not designate permitted sender hosts)

Received: from CY4PR02CU008-vft-obe.outbound.protection.outlook.com  
 (40.93.6.20) by BN1NAM02FT063.mail.protection.outlook.com (10.13.2.169) with  
 Microsoft SMTP Server (version=TLS1\_2,  
 cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5924.15 via Frontend  
 Transport; Fri, 16 Dec 2022 18:58:49 +0000

ARC-Seal: i=3; a=rsa-sha256; s=arcselector9901; d=microsoft.com; cv=pass;

b=JfkzupuQWiwMApw/+RSf29XwK7f9U1QHEGem/cjXCAsJmpL/EIYrnVOP6Oia2DgiKX9xh0tHCef2CQUTPg0mMr  
 VnkBSTile7Y/HbHe3A+lGCSW2PyNxqJ14LDpEALN114/0yMp/dOEwYHk0gUz4SEqsu/cNIOgOPWDjvks/AHvyBTse  
 B6l11+qtPCXJItZfNtd1Lhle126d+7vM8Zs76cVJqZPEDJTqXQZtjtq5vg11Z8YHQ2EPZvs8t4AK/oGHlmlRsZJHK  
 Qh6fW4y9UnV+mfN1JlPUQJB/zRSHHoXSkNjvYsAGWfs3AhtL+jUw8bwbL1EmyREvf7P/cVfYeWuw==

ARC-Message-Signature: i=3; a=rsa-sha256; c=relaxed/relaxed; d=microsoft.com;  
 s=arcselector9901;  
 h=From:Date:Subject:Message-ID:Content-Type:MIME-Version:X-MS-Exchange-AntiSpam-  
 MessageData-ChunkCount:X-MS-Exchange-AntiSpam-MessageData-0:X-MS-Exchange-AntiSpam-  
 MessageData-1;  
 bh=Ur3b0h/YFKDuA5t7mAe5kQM8BhNn9R8ZcB0L1ghw/QI=;

b=f9vjpxhVXs8QE1be8Rq/GWql2g+s6Rh4UAWOQVt8DTE4qa2oJldiny9nHGowWtlwOTTvterKS3T075AbwtibmIv  
 g5fyMsZCAkdqov8TIVXl1+E40fXrY1A4pQo7qi5i8ZGUAmics9+krK62EkzhuIWjk/Iuq6xfy0pU+xp6tU4tfmXTi  
 HdffyMMbk5Ppbtvd/H04pFekLyLdtytxYTeWIVMEhWZsdrVfaVtbVXsbXoQw3CgsUiwuMmCZ+WnAxGt7WyrnhpN5Ag  
 uwE6F5Gge2ZcM17kN69WudgWqewNtOvfHAFmbT/ItWdoV97IFOUt8UqigP+4XEyalvqW30RovS8eg==

ARC-Authentication-Results: i=3; mx.microsoft.com 1; spf=none (sender ip is

40.107.223.130) smtp.rcpttodomain=corclearing.com  
 smtp.mailfrom=geronsecuritieslitigation.com; dmarc=none action=none  
 header.from=geronsecuritieslitigation.com; dkim=pass (signature was verified)  
 header.d=epiqsystems3.onmicrosoft.com; arc=pass (0 oda=1 ltdi=1  
 spf=[1,1,smtp.mailfrom=geronsecuritieslitigation.com]  
 dkim=[1,1,header.d=geronsecuritieslitigation.com]  
 dmarc=[1,1,header.from=geronsecuritieslitigation.com])  
 ARC-Seal: i=2; a=rsa-sha256; s=arcselector9901; d=microsoft.com; cv=pass;  
 b=DQ37IznkhniarUUZF SueJE7Y1oK8t5hEjMPm7oYlJYPGLC7mrVBUwZI/xjZtjFYXcrOiRQKiYP0PUxg32Ce7j5j  
 yKWJZmIHtSYAkWImH4ZAjbZSGpXI5bwnp/VzUwFdDMmbqMEUooASac2Aoyq5vf3xgghUuANjVvmeplJeDboyV6nl  
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 gI4F5cQXRbH6m9WHKsaIhorucvXNbKFLTDuW+G5oeo9AjrdrAwFdtcUaykSCUFBNYNCOFysxL8BEw==  
 ARC-Message-Signature: i=2; a=rsa-sha256; c=relaxed/relaxed; d=microsoft.com;  
 s=arcselector9901;  
 h=From:Date:Subject:Message-ID:Content-Type:MIME-Version:X-MS-Exchange-AntiSpam-  
 MessageData-ChunkCount:X-MS-Exchange-AntiSpam-MessageData-0:X-MS-Exchange-AntiSpam-  
 MessageData-1;  
 bh=Ur3b0h/YFKDuA5t7mAe5kQM8BhNn9R8ZcB0Llghw/QI=;  
 b=F422lnDaMc8+9PjGplvUiVLE0q/p9qaYwvt4ItvJJpSCnGGMcGWDxvA/alo2Whh5NCKhGKRxqD5ajmOtyv+grKI  
 A5ozLjGadEgQuWR8O2VSwolyQi3RtHOOGlLOmokvjLuRos5TOYq998JYpmez+lrcZw8zOgIhEsuo/LYBoFHOH/o37  
 gdG/hfhcNXtT75XWeL8NPXHzpD0n3EqsdgTZig2jZL5MD9Bivvpmp0NpGWIWljgcZESOFewmqAo2VPPdT6Sqr1HTZ  
 j3rH10l/tApV8mkjDXexcpBpU2+lEJljlRkzIAb4ONay4hmAIrYhzr+bEuM/lmW/vdk+p+D15i/VQ==  
 ARC-Authentication-Results: i=2; mx.microsoft.com 1; spf=none (sender ip is  
 40.107.223.130) smtp.rcpttodomain=corclearing.com  
 smtp.mailfrom=geronsecuritieslitigation.com; dmarc=none action=none  
 header.from=geronsecuritieslitigation.com; dkim=pass (signature was verified)  
 header.d=epiqsystems3.onmicrosoft.com; arc=pass (0 oda=1 ltdi=1  
 spf=[1,1,smtp.mailfrom=geronsecuritieslitigation.com]  
 dkim=[1,1,header.d=geronsecuritieslitigation.com]  
 dmarc=[1,1,header.from=geronsecuritieslitigation.com])  
 Received: from DS7P222CA0025.NAMP222.PROD.OUTLOOK.COM (2603:10b6:8:2e::31) by  
 MN0PR05MB9030.namprd05.prod.outlook.com (2603:10b6:208:3ca::14) with  
 Microsoft SMTP Server (version=TLS1\_2,  
 cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5880.19; Fri, 16 Dec  
 2022 18:58:09 +0000  
 Received: from DM3NAM02FT010.eop-nam02.prod.protection.outlook.com  
 (2603:10b6:8:2e:cafe::4c) by DS7P222CA0025.outlook.office365.com  
 (2603:10b6:8:2e::31) with Microsoft SMTP Server (version=TLS1\_2,  
 cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5924.15 via Frontend  
 Transport; Fri, 16 Dec 2022 18:58:09 +0000  
 Authentication-Results-Original: spf=none (sender IP is 40.107.223.130)  
 smtp.mailfrom=GeronSecuritiesLitigation.com; dkim=pass (signature was  
 verified) header.d=epiqsystems3.onmicrosoft.com;dmarc=none action=none  
 header.from=GeronSecuritiesLitigation.com; compauth=pass reason=130  
 Received-SPF: None (protection.outlook.com: GeronSecuritiesLitigation.com does  
 not designate permitted sender hosts)  
 Received: from NAM11-DM6-obe.outbound.protection.outlook.com (40.107.223.130)



by DM3NAM02FT010.mail.protection.outlook.com (10.13.5.124) with Microsoft SMTP Server (version=TLS1\_2, cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5924.16 via Frontend Transport; Fri, 16 Dec 2022 18:58:09 +0000  
ARC-Seal: i=1; a=rsa-sha256; s=arcselector9901; d=microsoft.com; cv=none;

b=jKrzRQ3/qHEbCCj8AIAarUeurbw0YGmArfoXFS8I/XzFqarpGGsABgGbNZP9vdNI1K7QigG7QNf564FjTJ0ZXHn+2F1cNHMTsYKCiRO1gBnbJAI+srK4uzMEB0TRk9YQ5xGU9S0GOQQFOmoYxMFSpwBgI1rx1Hb5wZJm1Z6gsS1Tirwg gAjSAPEy+u3VMI051a/YLWm2b6ax+1yRH+QQ18iD5LNNkymZHdeu6KJYMoTn11YP9sequd2j+DmU2GxYc0ESMJbox oWtwXmAfoIo42jGCsgk7HsTpu7sadUICISnfileUNVnpu2X4mrxA6flrm25WosksYSSBnNMLRrUTVQ==

ARC-Message-Signature: i=1; a=rsa-sha256; c=relaxed/relaxed; d=microsoft.com; s=arcselector9901;

h=From:Date:Subject:Message-ID:Content-Type:MIME-Version:X-MS-Exchange-AntiSpam-MessageData-ChunkCount:X-MS-Exchange-AntiSpam-MessageData-0:X-MS-Exchange-AntiSpam-MessageData-1;

bh=Ur3b0h/YFKDuA5t7mAe5kQM8BhNn9R8ZcB0L1ghw/QI=;

b=b1sPQNAKJm5gtgsL7sKDBoVXlr5TAhqXZ30DdP85jkSGm7sma3Rcq+eG2mCC9MiJsmxbQzUptbkC+g9Zn0a/40 blHqYVlqpYTHgLGPlsm1PPAuda6WOzR+PM4i1dEa/ENi1HeP9h3K11EY7TviCeunym1+M4QvhY1S3X9kwjY0eAY5C EzPEXP0mqVqiMje3E1Ob1jPsVW5ucaC7O+x14Ro0I4ofhNz4NXBUOZ7mjTzZr7VQN4BaAjkbv3sj+9kN6DGs1yNo yVVie5nb2uPPa40Gj6A30GeA6jrkMuULJVJuYQmPXRhljWzaClSjLqQR9c5NhWwbfwTQluIF5kYZA==

ARC-Authentication-Results: i=1; mx.microsoft.com 1; spf=pass

smtp.mailfrom=geronsecuritieslitigation.com; dmarc=pass action=none

header.from=geronsecuritieslitigation.com; dkim=pass

header.d=geronsecuritieslitigation.com; arc=none

DKIM-Signature: v=1; a=rsa-sha256; c=relaxed/relaxed;

d=epiqsystems3.onmicrosoft.com; s=selector1-epiqsystems3-onmicrosoft-com;

h=From:Date:Subject:Message-ID:Content-Type:MIME-Version:X-MS-Exchange-SenderADCheck;

bh=Ur3b0h/YFKDuA5t7mAe5kQM8BhNn9R8ZcB0L1ghw/QI=;

b=REsG8aolM+bPnTb/0FAQDvyI4XFoxGKYw6pVFuVtSMIGyUCUCZWZzJLM2Tf42dfefHmpl1bLZmOo9vsWVGsHCp+FsZoV4rcbLVP9RNaIho7vs+T3Y0hYYI87oHL4vdHNLVsJY8N8TDqqliFtmgr5oDZ7nyGUdwxwPXyWRMRnwx8=

Received: from CO6PR06MB7490.namprd06.prod.outlook.com (2603:10b6:303:a9::23)

by BYAPR06MB5815.namprd06.prod.outlook.com (2603:10b6:a03:14d::31) with

Microsoft SMTP Server (version=TLS1\_2,

cipher=TLS\_ECDHE\_RSA\_WITH\_AES\_256\_GCM\_SHA384) id 15.20.5924.11; Fri, 16 Dec 2022 18:58:06 +0000

Received: from CO6PR06MB7490.namprd06.prod.outlook.com

([fe80::7e96:e2af:5c82:ff6]) by CO6PR06MB7490.namprd06.prod.outlook.com

([fe80::7e96:e2af:5c82:ff6%5]) with mapi id 15.20.5944.005; Fri, 16 Dec 2022 18:58:06 +0000

From: info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>

To: "COPORATE.ACTION@CORCLEARING.COM" <COPORATE.ACTION@CORCLEARING.COM>

Subject: Geron Securities Class Action Litigation - Follow Up

Thread-Topic: Geron Securities Class Action Litigation - Follow Up

Thread-Index: AdkRgCdMNF1qXDMbQh67Z62xeMcvGw==

Date: Fri, 16 Dec 2022 18:58:06 +0000

Message-ID:

<CO6PR06MB7490E70075977072359328E6FAE69@CO6PR06MB7490.namprd06.prod.outlook.com>

Accept-Language: en-US

Content-Language: en-US

X-MS-Has-Attach:

X-MS-TNEF-Correlator:

Authentication-Results-Original: dkim=none (message not signed)

header.d=none;dmARC=none action=none

header.from=GeronSecuritiesLitigation.com;

x-ms-exchange-messagesentrepresentingtype: 1

x-ms-traffictypediagnostic:

CO6PR06MB7490:EE\_|BYAPR06MB5815:EE\_|DM3NAM02FT010:EE\_|MN0PR05MB9030:EE\_|BN1NAM02FT063:EE\_|MN2PR05MB7133:EE\_|BN1NAM02FT029:EE\_|BYAPR05MB4087:EE\_|

X-MS-Office365-Filtering-Correlation-Id: 85ad2f32-8adf-498f-25fd-08dadf9793be

x-ms-exchange-sharedmailbox-routingagent-processed: True

x-ms-exchange-senderadcheck: 1

x-ms-exchange-antispam-relay: 0

X-Microsoft-Antispam-Untrusted: BCL:0;

X-Microsoft-Antispam-Message-Info-Original:

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baKVKLdbLDa/uk6qCMpk0XViVpS0AM+XE8pSLeHFwnSmbniz0sSgHQne3M9OUB+QgTtTshGdJECCLnK3GYOdq3Qb3  
ObRToCG1XK1CnmknQwQc+WlUrodm2/aqb+swGhyr5Lx1XAJXBJC0cUt+4ZSk5TcFd6/Sk6rxFkP/XMdzEceFoUhT  
MmTi57RH/ixReBImCJHtE7XrRPs65KnlFULq0rcVdoPKW0JVZ5vYsGHUHENzTt7iZtnpp9v3EOwrzPMXs4Ly1hYSM  
gGnbPPZJvWzhj/m6uJ5lTWTQFJm5F2MS9Dhgy1vUlZYfmlIcKdIuKio+UUGSf38tVfgtjeMuhUdWsskI/45iIj5ru  
N/NKfLpmIUBnVxm5vYHYRLlRTd2E8jBGrvxf5xXAwskn8NbYxNt99hDM0PxMbvAv4tWLXhBuGw9V6pVBwqbUGI8  
pHMuQWJG+BTiXxkzDLbJN/K/mPir2HLrcCA4EvNANG8poEx0z4iZ/NRz7BI5GHQHywhl5YDofP4//j9I1Yg2Wzmsx  
AyZnjowK5T8s9SrUl2pxeOZ87jDo5kC9rKvbivenx9t5b+l+dYn8/tb5pbMyHnwIh4TjfxVknGLfYw==

X-Forefront-Antispam-Report-Untrusted:

CIP:255.255.255.255;CTRY:;LANG:en;SCL:1;SRV:;IPV:NLI;SFV:NSPM;H:CO6PR06MB7490.namprd06.pr  
od.outlook.com;PTR:;CAT:NONE;SFS:(13230022)(4636009)(346002)(366004)(376002)(396003)(1360  
03)(39860400002)(451199015)(66899015)(122000001)(33656002)(86362001)(166002)(38070700005)  
(8936002)(76116006)(38100700002)(186003)(26005)(83380400001)(478600001)(6916009)(316002)(  
9686003)(7696005)(55236004)(6506007)(66476007)(66446008)(66946007)(66556008)(8676002)(647  
56008)(71200400001)(52536014)(41300700001)(5660300002)(55016003)(2906002)(57052004)(85282  
002);DIR:OUT;SFP:1102;

X-MS-Exchange-AntiSpam-MessageData-Original-ChunkCount: 1

X-MS-Exchange-AntiSpam-MessageData-Original-0: =?us-

ascii?Q?Fv+NVpHQf3xwm2e0jTrIvYmVq9f1B0EXirtMHGJA9Q6izj8PKyrYpne7BsHY?=  
=?us-ascii?Q?AOKmdFYwmv/qY0xWcbmkMnBj1cy+B8nZyH0yh1r3lDEsxshEAbXsrpy27EVU?=  
=?us-ascii?Q?7vpozDlaNlye4GLBFhQrvNbFukOeaBejpQD+Dpamv1mbfKIPJyr4BN52JSjg?=  
=?us-ascii?Q?X3QZc1oWakJZGH/G/e66uXsScx/HBNW+tA1/U7D0REtPMAypw3tOwHzOoDnf?=  
=?us-ascii?Q?VnbU4bb22O2gX3UPLVpeS+xoJWz1VZI/NZuZOGCcAaHZldbZHam4oyTPPIwy?=  
=?us-ascii?Q?dWC6bBZqIFoMli9luLUCjxAlIqBHRqqDyV1hujwDJ87oxSq3EKMEUpNfExi9?=  
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(UTC)

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X-MS-Exchange-CrossTenant-FromEntityHeader: Internet

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**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [corporate.action@axosclearing.com](mailto:corporate.action@axosclearing.com)  
**Subject:** Geron Securities Settlement - Follow Up  
**Date:** Tuesday, January 31, 2023 7:28:19 PM

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Dear Axos Clearing Corporate Actions,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third-party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022, mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

## Amin-Giwner, Stephanie

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**From:** Axos Clearing <noreply@axosclearing.com>  
**Sent:** Tuesday, January 31, 2023 7:30 PM  
**To:** info\_GeronSecuritiesLitigati  
**Subject:** Geron Securities Settlement - Follow Up - Case Number 03587326

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.



### Inquiry Received

Thank you for contacting Axos Clearing your case number is 03587326.

We have received your inquiry and have routed your message to corporate.action@axosclearing.com.

For additional information on Axos Clearing, please visit [www.axosclearing.com](http://www.axosclearing.com).

This email and any attachments may be confidential, privileged or otherwise exempt from disclosure under applicable law. No confidentiality or privilege is waived or lost by any transmission errors. This communication is intended solely for the intended recipient, and if you are not the intended recipient, please notify the sender immediately by return email, delete it from your system and do not copy, distribute, disclose or otherwise act upon any part of this email communication or its attachments. Unauthorized reading, dissemination, distribution or copying of this communication is prohibited. AXOS Clearing LLC does not guarantee the security of any information transmitted through email and is not liable for any interception, corruption or delays. AXOS Clearing does not make investment recommendations or decisions, nor offer advice including without limitation investment, legal or tax advice. AXOS Clearing LLC. Member FINRA & SIPC. All Rights Reserved.





## Amin-Giwner, Stephanie

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**From:** Axos Clearing Corporate Actions <corporate.action@axosclearing.com>  
**Sent:** Monday, February 6, 2023 9:50 AM  
**To:** info\_GeronSecuritiesLitigati  
**Subject:** RE: Geron Securities Settlement - Follow Up - Case Number 03587326 [ ref:\_00Di0KtrF.\_5003o1bu9fq:ref ]  
**Attachments:** 374163103 - Geron Litigation - 020623.xlsx  
  
**Follow Up Flag:** Follow up  
**Flag Status:** Completed

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hello,

Please see attached list of account holders during specified time.

Best  
Bailey  
Corporate Actions  
Axos Clearing

----- Original Message -----

**From:** Axos Clearing [noreply@axosclearing.com]  
**Sent:** 1/31/2023 4:30 PM  
**To:** info@geronsecuritieslitigation.com  
**Subject:** Geron Securities Settlement - Follow Up - Case Number 03587326



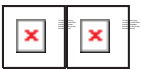
## Inquiry Received

Thank you for contacting Axos Clearing your case number is 03587326.

We have received your inquiry and have routed your message to [corporate.action@axosclearing.com](mailto:corporate.action@axosclearing.com).

For additional information on Axos Clearing, please visit [www.axosclearing.com](http://www.axosclearing.com).

**This email and any attachments may be confidential, privileged or otherwise exempt from disclosure under applicable law. No confidentiality or privilege is waived or lost by any transmission errors. This communication is intended solely for the intended recipient, and if you are not the intended recipient, please notify the sender immediately by return email, delete it from your system and do not copy, distribute, disclose or otherwise act upon any part of this email communication or its attachments. Unauthorized reading, dissemination, distribution or copying of this communication is prohibited. AXOS Clearing LLC does not guarantee the security of any information transmitted through email and is not liable for any interception, corruption or delays. AXOS Clearing does not make investment recommendations or decisions, nor offer advice including without limitation investment, legal or tax advice. AXOS Clearing LLC. Member FINRA & SIPC. All Rights Reserved.**



ref:\_00Di0KtrF.\_5003o1bu9fq:ref

# EXHIBIT Y

## Amin-Giwner, Stephanie

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**From:** Alexander.Muchnik@ny.email.gs.com <Alexander.Muchnik@gs.com>  
**Sent:** Thursday, February 2, 2023 11:57 AM  
**To:** Lambert, Grant; Rajasekaran, Roshni; info\_GeronSecuritiesLitigati  
**Cc:** gs-as-ny-class-action@ny.email.gs.com; Phillip, Neil  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Thanks Grant

We mailed to 246 addresses on 1/18/23. We always round up on the docs requested just in case – I hope that’s not an issue as we are fairly new to self-serving physical mailing post Covid. Also, can you help us understand to the questions being asked of us? I am considering outsourcing the mailings and would like to get a sense of what to expect from claims admin’s

### Alexander Muchnik

Asset Servicing I Vice President  
Goldman, Sachs & Co. LLC  
200 West St. – 16<sup>th</sup> Floor | New York, NY 10282  
Tel: +1- 917-343-9386  
NYC Hotline: +1-212-357-6221  
[alexander.muchnik@gs.com](mailto:alexander.muchnik@gs.com)

---

**From:** Muchnik, Alexander [GMD]  
**Sent:** Thursday, February 2, 2023 11:19 AM  
**To:** Lambert, Grant <glambert@epiqglobal.com>; Rajasekaran, Roshni [GMD] <Roshni.Rajasekaran@ny.email.gs.com>; info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Cc:** gs-as-ny-class-action <gs-as-ny-class-action@ny.email.gs.com>; Phillip, Neil [CWS] <Neil.Phillip@ny.email.gs.com>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Working on it. We have a facilities team that takes care of it as we do not do it out of ops

Let me get the info and come back to you

### Alexander Muchnik

Asset Servicing I Vice President  
Goldman, Sachs & Co. LLC  
200 West St. – 16<sup>th</sup> Floor | New York, NY 10282  
Tel: +1- 917-343-9386  
NYC Hotline: +1-212-357-6221  
[alexander.muchnik@gs.com](mailto:alexander.muchnik@gs.com)

---

**From:** Lambert, Grant <glambert@epiqglobal.com>  
**Sent:** Thursday, February 2, 2023 11:04 AM

**To:** Muchnik, Alexander [GMD] <Alexander.Muchnik@ny.email.gs.com>; Rajasekaran, Roshni [GMD] <Roshni.Rajasekaran@ny.email.gs.com>; info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Cc:** gs-as-ny-class-action <gs-as-ny-class-action@ny.email.gs.com>; Phillip, Neil [CWS] <Neil.Phillip@ny.email.gs.com>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Alexander,

Thank you very much for getting back to me.

Can you please provide the number of notices you mailed, and the date they were sent out?

**Grant Lambert**

Epiq | Project Director  
10300 SW Allen Blvd  
Beaverton, OR 97005  
Mobile: 503 207 3661  
Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

---

**From:** [Alexander.Muchnik@ny.email.gs.com](mailto:Alexander.Muchnik@ny.email.gs.com) <[Alexander.Muchnik@gs.com](mailto:Alexander.Muchnik@gs.com)>  
**Sent:** Thursday, February 2, 2023 7:26 AM  
**To:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>; Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hi Grant, we can provide the amount of mailings we are sending, however, we are bound by client confidentiality to not disclose who the clients are

Not sure why this information is needed as the mailing without any client response could be made public.

**Alexander Muchnik**

Asset Servicing I Vice President  
Goldman, Sachs & Co. LLC  
200 West St. – 16<sup>th</sup> Floor | New York, NY 10282  
Tel: +1- 917-343-9386  
NYC Hotline: +1-212-357-6221  
[alexander.muchnik@gs.com](mailto:alexander.muchnik@gs.com)

---

**From:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>  
**Sent:** Wednesday, February 1, 2023 3:46 PM  
**To:** Rajasekaran, Roshni [GMD] <[Roshni.Rajasekaran@ny.email.gs.com](mailto:Roshni.Rajasekaran@ny.email.gs.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** gs-as-ny-class-action <[gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com)>; Phillip, Neil [CWS] <[Neil.Phillip@ny.email.gs.com](mailto:Neil.Phillip@ny.email.gs.com)>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)  
**Importance:** High

Hello Goldman Sachs Team,

Following up on my email below.

Class Counsel has asked for a response so that it can be included in a declaration to the Court.

Without an adequate response, Class Counsel will have to raise your non-compliance to the inquiry with the Court.

Please reply asap with the requested information.

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

---

**From:** Lambert, Grant

**Sent:** Friday, January 27, 2023 5:02 PM

**To:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>

**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Roshni and Goldman Sachs Class Action Team,

I hope you are well.

Following up on my email below.

We are preparing a document for Counsel would like to confirm the number of Notices sent by Goldman Sachs.

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

---

**From:** Lambert, Grant

**Sent:** Friday, January 20, 2023 11:26 AM

**To:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>

**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Roshni and Goldman Sachs Class Action Team,

I hope you are well.

Following up on my email below, do you have an update for Class Counsel?

**Grant Lambert**

Epiq | Project Director  
10300 SW Allen Blvd  
Beaverton, OR 97005  
Mobile: 503 207 3661  
Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

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**From:** Lambert, Grant  
**Sent:** Tuesday, January 17, 2023 4:52 PM  
**To:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Roshni,

I am writing to follow up on the Goldman Sachs request for Notices in the Geron Securities Settlement.

At the request of Class Counsel can you please confirm the number of Notices disseminated as well as a list of class member you sent the Notice to.

Please provide by 1/24/23.

**Grant Lambert**

Epiq | Project Director  
10300 SW Allen Blvd  
Beaverton, OR 97005  
Mobile: 503 207 3661  
Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

---

**From:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>  
**Sent:** Wednesday, January 4, 2023 12:47 PM  
**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>  
**Subject:** Geron Corporation (2020) (N.D. Cal.)

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Hi Claims Admin,

Hope this email finds you well. Requesting you to ship 300 copies of the Geron Corporation (2020) (N.D. Cal.) action to the below address at the earliest. Can you also please ensure the materials are not folded or stuffed into envelopes when they are sent over?

Goldman, Sachs & Co.  
Attn: Neil Phillip  
601 West 26th Street, 3rd Fl.  
Suite 360  
New York, NY 10001

Please acknowledge receipt of this request and please also provide the tracking information so we are up to date with the status of the package.

Thanks,

**Roshni Rajasekaran**

Vice President | Asset Servicing Pre Event - Global Markets Division

**Goldman Sachs & Co. LLC.**

200 West Street, New York, NY 10280

Office: +1 (212) 357-4475 | Mobile: +1 (917) 797-6923 | Email: [Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)

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# EXHIBIT Z

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [Zz-Janney Montgomery Scott LLC](#)  
**Subject:** Geron Securities Settlement - Follow-Up  
**Date:** Tuesday, January 31, 2023 7:42:30 PM

---

Dear Nominee Janney Montgomery Scott LLC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third-party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022, mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

# EXHIBIT AA

## Amin-Giwner, Stephanie

---

**From:** Meade Reynolds <mreynolds@frtservices.com>  
**Sent:** Monday, February 13, 2023 2:46 PM  
**To:** info\_GeronSecuritiesLitigati  
**Cc:** Ops  
**Subject:** Geron Corporation Securities Litigation FRT FBO JP Morgan Various Clients 2.13.2023  
**Attachments:** Geron Corporation - Efile - FRT FBO JP Morgan Various Clients 2.13.2023.zip

**Follow Up Flag:** Follow up  
**Flag Status:** Completed

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Hello,

Attached please find the transaction spreadsheet and claim PDF packet for Financial Recovery Technologies' filing on behalf of JP Morgan Various Clients for the Geron Corporation Securities Litigation.

The password is the same as normal. Please let me know if you require additional information.

Please respond via email once the claim has been processed and provide claim submission numbers by account.

Thank you and have a great day.

Regards,

**Meade Reynolds**

Associate Analyst, Claims Management

**Financial Recovery Technologies**

400 River's Edge Drive, 4<sup>th</sup> Floor | Medford, MA 02155

[mreynolds@frtservices.com](mailto:mreynolds@frtservices.com)

# EXHIBIT BB

**From:** [jpms class actions](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Cc:** [jpms class actions](#)  
**Subject:** RE: [EXTERNAL]Geron Securities Class Action Litigation - Follow Up  
**Date:** Wednesday, December 21, 2022 7:41:07 AM

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Hi,

The names and addresses for Geron were sent to Broadridge 11/8/2022.

Thank you.

---

SWS

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*Ayana Clayton*, Asset Specialist | Corporate & Investment Bank | J.P. Morgan Chase | 500 Stanton Christiana Road, Newark, DE, 19713-2105, United States | [ayana.l.clayton@jpmchase.com](mailto:ayana.l.clayton@jpmchase.com) | 302-634-8527

---

**From:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Sent:** Friday, December 16, 2022 2:10 PM  
**To:** PB Class Actions <[PB.Class.Actions@jpmorgan.com](mailto:PB.Class.Actions@jpmorgan.com)>  
**Subject:** [EXTERNAL]Geron Securities Class Action Litigation - Follow Up

Dear Nominee JP Morgan Clearing Corp,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

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unauthorized use is strictly prohibited.



**EXHIBIT CC**

**From:** [Reading, Amy](#) on behalf of [KBCM Account Services](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Subject:** RE: Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 3:09:58 PM  
**Attachments:** [image001.png](#)

---

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Hello,

If they have not already done so, Pershing will be responding on our behalf as they process class action requests for us from these time periods.

Thank you,

**Amy Reading**  
**KBCM Account Services**  
OH-01-49-0254  
4900 Tiedeman Road, Brooklyn, OH 44144-2302  
Office: 216-813-8531  
[amy\\_reading@keybank.com](mailto:amy_reading@keybank.com)

**KeyBanc** Capital Markets 

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**From:** info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Sent:** Friday, December 16, 2022 2:11 PM  
**To:** KBCM Account Services <KBCM\_Account\_Services@KeyBank.com>  
**Subject:** Geron Securities Class Action Litigation - Follow Up

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Dear Nominee Keybank Capital Markets,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class

members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

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**EXHIBIT DD**

**From:** [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)  
**To:** [marketdataservices@mesirowfinancial.com](mailto:marketdataservices@mesirowfinancial.com)  
**Subject:** Geron Securities Settlement - Follow-Up  
**Date:** Tuesday, January 31, 2023 7:39:18 PM

---

Dear Nominee Mesirow Financial Inc.,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third-party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022, mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

# EXHIBIT EE

**From:** [Krasner, Alex](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Subject:** RE: Geron Securities Class Action Litigation - Follow Up  
**Date:** Friday, December 16, 2022 2:44:29 PM

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No holders

Alex Krasner  
Trading Operations



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**Needham & Company, LLC** | 250 Park Avenue | New York, NY 10177

☎ Direct: 212.705.0497 | ☎ Fax 212-705-0420 | ✉ [operations@needhamco.com](mailto:operations@needhamco.com)

---

**From:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Sent:** Friday, December 16, 2022 2:17 PM  
**To:** Krasner, Alex <[akrasner@needhamco.com](mailto:akrasner@needhamco.com)>  
**Subject:** Geron Securities Class Action Litigation - Follow Up

Dear Nominee Needham & Company LLC,

We are reaching out to follow-up on the Settlement Notice mailing we sent you in Geron Securities Litigation on October 28, 2022. While the deadlines to opt out and object to the Settlement are both March 9, 2023, the Court ordered deadline for filing a claim in connection with the Settlement is coming up sooner on **February 16, 2023**. Notices need to be sent to all beneficial owners in time for them to meet this claim deadline, if they so choose. We have not yet heard from you with regard to requesting notices to be mailed to any of your affected clients and are encouraging all of our third party filers to respond as quickly as they can in order to help meet these deadlines.

If you already sent records of addresses for beneficial owners following the May 23, 2022 mailing re: Notice of Pendency, we have mailed the Settlement Notice to these beneficial owners/addresses already. However, if there are new or updated records of addresses for any of these beneficial owners, please provide these immediately. You may either forward beneficial owner mailing data for this litigation or request the appropriate number of notice packets to be forwarded to eligible class members. Please confirm if you do not have any updated or new records to mail.

If you have checked your records and determined you do not have class member data to provide, please advise [info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com).

The Claim Filing deadline is February 16, 2023. Additional information, including the Notice of Proposed Settlement and Proof of Claim Form, can be found at [www.GeronSecuritiesLitigation.com](http://www.GeronSecuritiesLitigation.com).

Best,

*Susanna W.*

Geron Securities Settlement Administrator

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Please be advised that unless otherwise noted, this is my opinion from a sales perspective.



**EXHIBIT FF**

**From:** [BOUACHRA Mahmoud](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Cc:** [PAR-Geds-Classactions; OUMENNI Hassan](#)  
**Subject:** GERON CORPORATION CASE FOR SOCIETE GENERALE  
**Date:** Wednesday, January 25, 2023 9:42:05 AM  
**Attachments:** [image001.png](#)  
[image003.png](#)  
[image002.png](#)  
[image004.png](#)  
[GERON Cover Letter Société Générale Signed.pdf](#)  
[GERON POC Société Générale Signed.pdf](#)  
[W8 BEN E - SG PARIS \(2022\) light.pdf](#)  
[SURDON Jean-Philippe Notarized power of Attorney 04122019 Societe Generale Global Markets.pdf](#)  
[GERON CORPORATION SECURITIES LITIGATION for SOCIETE GENERALE.xlsx](#)

**Importance:** High

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Dear Claims Administrator,

Please find attached the securities litigation file for SOCIETE GENERALE.

We have also submitted the attached documents on your Website. This is the confirmation code **ZBDXCJQ8**.

When the disbursement period comes, please let us know and provide us with a breakdown of payments to the extent that losses are recognized.

Should you have any question please let me know.

Kind Regards,

Mahmoud.

**Mahmoud BOUACHRA**

**EQD Trading Analyst**

ATS/MAR/EQD/TDA

Société Générale Africa Technologies & Services  
 42 Boulevard Abdelmoumen, 20250 Casablanca - MAROC

E-mail: [mahmoud.bouachra@sgcib.com](mailto:mahmoud.bouachra@sgcib.com)

\*\*\*\*\*

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\*\*\*\*\*

# EXHIBIT GG

**From:** [Cathy Prince](#)  
**To:** [info\\_GeronSecuritiesLitigati](#)  
**Subject:** Bankruptcy/Litigation/Securities Settlement [ ref:\_00D30obue.\_5004V1FWbVz:ref ]  
**Date:** Friday, May 27, 2022 5:23:16 PM  
**Attachments:** [Geron.xlsx](#)

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Good Day,

Attached is a spreadsheet with list of holders we have for the above class action. Please provide them all available documents and add them to your database for all future mailings.

Please confirm receipt of this email.

Thank you,

**Cathy Prince** | Asset Maintenance Specialist  
1801 California Street, suite 800 Denver, CO 80202  
Direct: Direct: (303) 658-3909



ref:\_00D30obue.\_5004V1FWbVz:ref

# Exhibit 2

**KAPLAN FOX & KILSHEIMER LLP**

Laurence D. King (SBN 206423)  
 Kathleen A. Herkenhoff (SBN 168562)  
 Blair E. Reed (SBN 316791)  
 1999 Harrison Street, Suite 1560  
 Oakland, CA 94612  
 Telephone: (415) 772-4700  
 Facsimile: (415) 772-4707  
[lking@kaplanfox.com](mailto:lking@kaplanfox.com)  
[kherkenhoff@kaplanfox.com](mailto:kherkenhoff@kaplanfox.com)  
[breed@kaplanfox.com](mailto:breed@kaplanfox.com)

**KAPLAN FOX & KILSHEIMER LLP**

Robert N. Kaplan (admitted *pro hac vice*)  
 Jeffrey P. Campisi (admitted *pro hac vice*)  
 Jason A. Uris (admitted *pro hac vice*)  
 800 Third Avenue, 38th Floor  
 New York, NY 10022  
 Telephone: (212) 687-1980  
 Facsimile: (212) 687-7714  
[rkaplan@kaplanfox.com](mailto:rkaplan@kaplanfox.com)  
[jcampisi@kaplanfox.com](mailto:jcampisi@kaplanfox.com)  
[juris@kaplanfox.com](mailto:juris@kaplanfox.com)

*Class Counsel for Lead Plaintiffs Julia Junge and  
 Richard Junge and the Class*

**UNITED STATES DISTRICT COURT  
 NORTHERN DISTRICT OF CALIFORNIA  
 SAN FRANCISCO DIVISION**

JULIA JUNGE and RICHARD JUNGE, on  
 behalf of themselves and a class of similarly  
 situated investors,

Plaintiffs,

v.

GERON CORPORATION and JOHN A.  
 SCARLETT,

Defendants.

Case No. 3:20-cv-00547-WHA (DMR)

Class Action  
 (Consolidated with Case No. 3:20-cv-  
 01163-WHA)

(Related to Case No. 3:20-cv-02823-WHA;  
 3:22-mc-80051-WHA)

**DECLARATION OF STEPHANIE  
 AMIN-GIWNER IN RESPONSE TO THE  
 COURT'S REQUEST AT THE MARCH  
 30, 2023 HEARING**

DECLARATION OF STEPHANIE AMIN-GIWNER IN RESPONSE TO THE COURT'S REQUEST AT  
 THE MARCH 30, 2023 HEARING - CASE NO. 3:20-CV-00547-WHA

1 I, Stephanie Amin-Giwner, declare as follows:

2 1. I am a Director, Client Services for Epiq Class Action and Claims Solutions, Inc. (“Epiq”).

3 I submit this declaration in response to the Court’s request at the March 30, 2023 hearing (“Settlement  
4 Fairness Hearing”), for additional information as set out in ECF No. 276. The following statements are  
5 based on my personal knowledge and information provided by other Epiq employees working under my  
6 supervision, and if called on to do so, I could and would testify competently thereto.<sup>1</sup>

7 2. In advance of the Settlement Fairness Hearing, Epiq provided four declarations to the  
8 Court concerning our work in connection with the Settlement. Those four Settlement related declarations  
9 include the following: ECF No. 248-4 (the “9/2/22 Amin-Giwner Preliminary Approval Decl.”); ECF  
10 No. 262-8 (the “2/2/23 Mahn Decl.”); ECF No. 269-1 (the “3/23/23 Supplemental Mahn Decl.”) and  
11 ECF No. 273-1 (the “3/29/23 Amin-Giwner Decl.”). A fifth declaration (an affidavit) was provided in  
12 connection with the Original Class Notice, and is ECF No. 244-1 (the “Webb Original Class Notice  
13 Affidavit”).

14 3. In ECF No. 276, the Court directed me “to submit to the Court the date each broker dealer  
15 responded to Epiq’s notice of settlement, follow up date, date packets mailed, and further details as stated  
16 on the record . . . .” During the Settlement Fairness Hearing, the Court directed Epiq as follows according  
17 to the transcript of the March 30, 2023 hearing at page 29, lines 7-24:

18 THE COURT: Here’s what I would like for you to do, please. I’d like for you to give me the  
19 date that each of these broker-dealers responded to you, to either give you the names and  
20 addresses or to say they would send out the packets, themselves; what date you received that;  
21 what date you followed up; and what date you actually mailed any followup packets. For  
22 example, you did give me the Axos Clearing. But you didn’t have that information for the others.  
23 I would like to know the name of the person that you sent these to, at each of these broker-dealers.

24  
25 <sup>1</sup> Capitalized terms that are not otherwise defined herein shall have the same meaning as set forth in  
26 the Stipulation and Agreement of Settlement dated September 2, 2022 (the “Stipulation” or  
27 “Settlement”) (ECF No. 247). Unless otherwise noted, all emphasis is added, and all internal  
citations and quotation marks are omitted.



1 MS. AMIN-GIWNER: Your Honor, do you mean on October 28th, to whom the notice packet  
2 was addressed?

3 THE COURT: Well, really, say -- yes. I do.

4 MS. AMIN-GIWNER: All right.

5 THE COURT: But, the name, and then if there was further communications I'd like to know  
6 who's involved in these communications with the broker-dealers.

7  
8 **I. EPIQ MAILS SETTLEMENT NOTICE PACKETS ON THE NOTICE DATE TO**  
9 **ALL POTENTIAL CLASS MEMBERS AND THEIR NOMINEES FOR WHOM IT**  
10 **HAD ADDRESSES AND ALSO TO ITS INTERNAL LIST OF BROKERS AND**  
11 **OTHER NOMINEES**

12 4. On October 28, 2022, Epiq disseminated the Settlement Notice Packet to potential Class  
13 Members and nominees by first class U.S. Mail and by e-mail<sup>2</sup> as follows:

- 14 • Epiq mailed 79,684 copies of the Settlement Notice Packet and e-mailed 191  
15 Settlement Notice Packets for a total of 79,773 unique potential Class Members  
16 whose names and addresses were obtained in connection with the dissemination  
17 of the Original Class Notice in May 2022.
- 18 • Epiq mailed the Settlement Notice Packet to 1,046 mailing records contained in  
19 its internal, proprietary list of brokers, banks, custodians, financial institutions,  
20 third party filers, law firms and nominees (the "Epiq Nominee List"). A copy of  
21 Epiq's Nominee List is attached as Exhibit A hereto. Along with the Settlement  
22 Notice Packet to the Epiq Nominee List, Epiq included a cover letter with  
23 directions for the nominees (referred to herein as the "Cover Letter"). A copy of  
24 the Cover Letter is attached as Exhibit ~~A-B~~ hereto.

25 <sup>2</sup> Epiq maintains an e-mail address and inbox ([info@geronsecuritieslitigation.com](mailto:info@geronsecuritieslitigation.com)) dedicated to this case for all case  
26 related e-mails that go out to nominees and potential class members and claimants. The Project Management team  
27 dedicated to this case along with myself and Grant Lambert who is a Project Director all have access to this inbox and  
28 can both send and receive e-mails related to this case from that e-mail address.

1           5.       The Epiq Nominee List includes the largest and most common broker firms, banks, and  
 2 other institutions involving publicly-traded securities. This list is contained in a database created and  
 3 maintained by Epiq and represents a significant majority of the beneficial holders of the securities in  
 4 most settlements involving publicly traded companies. In Epiq's experience, upon receipt of the  
 5 Settlement Notice Packet and Cover Letter, the brokers/nominees will review their own internal records  
 6 and determine if they or the beneficial owners whom they represent transacted in Geron common stock.  
 7 Not all brokers/nominees included in the Epiq Nominee List will have clients who transacted in Geron  
 8 common stock, and if they do not, no response to the notice is required.

9           6.       Set forth below are the details regarding each broker/nominee who responded to the  
 10 Settlement Notice Packet sent by Epiq, including the date of response, whether they chose to request  
 11 notice packets be sent to them, or that Epiq send notice to their clients, as well as the dates and substance  
 12 of any follow up. The remaining brokers/nominees included in Epiq's Nominee List did not respond to  
 13 the October 28, 2022 mailing. As described in more detail in the Declaration of Alison Wisniewski in  
 14 Support of Administrative Motion to Seal, Epiq considers the entirety of its Nominee List to be  
 15 confidential and proprietary. Including the complete list in a publicly filed document, such as this  
 16 Declaration, would require Epiq to disclose competitive business intelligence that will negatively impact  
 17 Epiq. However, to the extent that the Court's request also requires that Epiq provide its Nominee List in  
 18 its entirety, including those nominees who did not respond to the Notice, Epiq respectfully requests it be  
 19 allowed to file the entire list under seal, as Epiq's Nominee List is confidential and proprietary  
 20 information. Epiq's Nominee List is attached hereto as Exhibit A.

21  
 22 **II. THE SETTLEMENT NOTICE PROVIDED INSTRUCTIONS FOR NOMINEES TO**  
 23 **FOLLOW WITHIN SEVEN (7) CALENDAR DAYS OF RECEIPT OF THE**  
 24 **SETTLEMENT NOTICE PACKET THAT EPIQ MAILED ON THE NOTICE**  
 25 **DATE, WITH A CUT-OFF OF NOVEMBER 30, 2022 FOR COMPLIANCE**

26           7.       After the initial mailings described above in Section I, undertaken on the Notice Date, a  
 27 procedure was set forth in the Settlement Notice directed by the Court for nominees receiving the Notice  
 28

1 Date mailing (as opposed to the potential Class Member) to contact Epiq for further steps to disseminate  
2 the Settlement Notice Packets.

3 8. Specifically, the Cover Letter and Settlement Notice Packet sent to nominees on October  
4 28, 2022 directed the nominees, within seven (7) calendar days of receipt of the Settlement Notice Packet,  
5 to either (a) provide Epiq with a list of the names and last known addresses of all beneficial owners or  
6 (b) request from Epiq sufficient copies of the Settlement Notice Packet to forward to all beneficial owners  
7 and, within seven (7) calendar days of receipt of those copies and no later than November 30, 2022, mail  
8 the Settlement Notice Packet to all beneficial owners. Exhibit B attached hereto; *see also* ECF No. 262-  
9 8 (2/2/23 Mahn Decl.) at ¶14. *See also* ECF 262-5 (Settlement Notice) at ¶¶94-97.

10 9. Attached as Exhibit GG hereto are true and correct copies of the responses to the Original  
11 Class Notice from In response to the Original Class Notice, the following brokers/nominees that provided  
12 names and addresses of potential Class Members: Cathy Prince at Pacific Premier Trust (formerly First  
13 Trust) emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com)– (Ex. GG at 1);  
14 Bonnie Allen at Hilltop Securities emailed the dedicated case e-mail inbox  
15 (info@geronsecuritieslitigation.com) (Ex. GG at 2-3); Vera Graham at Crews and Associates emailed  
16 the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 4-5); Zandra Rawlins-  
17 Adens at The Penn Mutual Life Insurance Company emailed the dedicated case e-mail inbox  
18 (info@geronsecuritieslitigation.com) (Ex. GG at 6); Julie Gilmore at StoneX~~ex~~ Financial, Inc. emailed  
19 the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 7)<sup>3</sup>; Jesse Sprouse at  
20 Truist Investment Services, Inc. emailed the dedicated case e-mail inbox  
21 (info@geronsecuritieslitigation.com) (Ex. GG at 8); Daryll Baxter at Fidelity Investments emailed the  
22 dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 9); Alice Hemphill at  
23 Cetera Financial Group emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com)  
24 (Ex. GG at 10-11); Rebecca Summers at Bank of New York Mellon emailed the dedicated case e-mail

25 \_\_\_\_\_  
26 <sup>3</sup> Please note that according to Epiq's information, StoneX Financial is the new name for an entity Epiq has previously  
27 listed in its records as "INTL FCStone Financial Inc." or "International FCStone Financial Inc."  
28

1 inbox (info@geronsecuritieslitigation.com) and Grant Lambert of Epiq (Ex. GG at 12-13); Jane Flood,  
 2 whom I know to be from—~~at~~ UBS Securities LLC, emailed the dedicated case e-mail inbox  
 3 (info@geronsecuritieslitigation.com) (Ex. GG at 14); Radhakrishna Putcha at Broadridge Financial  
 4 Solutions, Inc. (India) emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com)  
 5 (Ex. GG at 15); Joleen Schutz at Piper Sandler & Co. (formerly Piper Jaffray) emailed the dedicated case  
 6 e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 16-18); Jen Curtin at Charles Schwab &  
 7 Co. emailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) (Ex. GG at 19); and  
 8 Joe Alberico at Research Capital Corporation emailed the dedicated case e-mail inbox  
 9 (info@geronsecuritieslitigation.com) (Ex. GG at 20); and BNY Mellon Pershing. Please note that the  
 10 attachments to these emails are not included in Exhibit GG as they contain personally identifiable  
 11 information of potential Class Members. The directions in the Cover Letter directed these  
 12 brokers/nominees that they did not need to provide any additional information, unless the  
 13 brokers/nominees purchased Geron common stock during the Class Period for beneficial owners whose  
 14 names and addresses were not previously provided to the Claims Administrator, or if such  
 15 brokers/nominees were aware of a name or address change of one of its beneficial owners (i.e. as to  
 16 whom they had provided any address previously). See Exhibit B at 1.

17 10. On the Notice Date, ~~these~~ the Cover Letter instructions to brokers and nominees were  
 18 posted on the website www.GeronSecuritiesLitigation.com. Set forth below are the details ~~on~~ of Epiq's  
 19 interaction with brokers/nominees who either contacted Epiq to provide names and address of potential  
 20 Class Members or request Settlement Notice Packets and brokers/nominees who Epiq attempted to  
 21 contact because they failed to respond to the initial Notice Date mailing of Settlement Notice Packets.

### 22 **III. EPIQ TAKES STEPS AFTER NOTICE DATE TO CORRECT MAILING** 23 **ADDRESSES RECEIVED FROM BROKERS OR NOMINEES AS PART OF** 24 **ROUTINE PROCESSING OF UNDELIVERABLE PACKETS**

25 11. In addition to the specific instructions to brokers/nominees in the Cover Letter, Settlement  
 26 Notice and on the website, Epiq took additional steps shortly after the Notice Date to process what  
 27

28 DECLARATION OF STEPHANIE AMIN-GIWNER IN RESPONSE TO THE COURT'S REQUEST AT  
 THE MARCH 30, 2023 HEARING - CASE NO. 3:20-cv-00547-WHA

1 appeared to be a group of incorrect address information provided by eight (8) brokers/nominees from the  
2 Original Class Notice.

3 12. Specifically, shortly after the Notice Date, Epiq advised Class Counsel of a number of  
4 undeliverable addresses from the Original Class Notice that Epiq received from nominees and therefore  
5 had used for mailings on the Notice Date.

6 13. Class Counsel asked Epiq to send an e-mail, which Epiq sent on November 4, 2022, to  
7 the brokers/nominees associated with these undeliverable addresses that appeared linked to incorrect  
8 addresses, requesting that these brokers/nominees check the address information for potential Class  
9 Members previously provided to Epiq and respond by, November 10, 2022, in writing.

10 14. Attached hereto as Exhibit C are those e-mails, sent by Grant Lambert, Project Director  
11 at Epiq to the nominees/brokers and at the e-mail addresses indicated on the e-mails. These e-mails were  
12 also submitted previously to the Court as Exhibit D to the 2/2/23 Mahn Decl. (ECF No. 262-8).

13 15. Specifically, on November 4, 2022, e-mails concerning the incorrect address information  
14 were sent by Lambert from the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) to the  
15 following persons at the eight entities listed below:

- 16 a. Daryll Baxter at Fidelity Investments (Ex. C at 1-2);
- 17 b. Vera Graham at Crews and Associates (Ex. C at 3-4);
- 18 c. Bonnie Allen at Hilltop Securities, Inc. (Ex. C at 5-6);
- 19 d. Joe Alberico at Research Capital (Ex. C at 7-8);
- 20 e. Jen Curtin at Charles Schwab & Co. (Ex. C at 9-10);
- 21 f. Radhakrishna Putcha at Broadridge Financial Solutions, Inc. (India) (Ex. C at 11-12);
- 22 g. Rebecca Summers at BNYMellon (Ex. C at 13-14);
- 23 h. Julie Gilmore at Stonex Financial Inc (Ex. C at 15-16).

24 16. The following summarizes the responses (or non-responses) of these brokers/nominees to  
25 the November 4, 2022 outreach set forth in Exhibit C. In response to this outreach, Epiq collectively  
26  
27  
28

DECLARATION OF STEPHANIE AMIN-GIWNER IN RESPONSE TO THE COURT'S REQUEST AT  
THE MARCH 30, 2023 HEARING - CASE NO. 3:20-cv-00547-WHA

1 obtained 6,428 corrected address records, to which Epiq then re-mailed the Settlement Notice Packets  
2 on the dates in November 2022 listed below:

- 3 a. On November 7, 2022, Daryll Baxter ([email address Daryll.Baxter@fmr.com](mailto:Daryll.Baxter@fmr.com)) from  
4 Fidelity Investments ([or Fidelity Institutional as stated on Mr. Baxter's email](#)) advised  
5 Grant Lambert from Epiq, [via an e-mail response to the dedicated case e-mail inbox](#)  
6 ([info@geronsecuritieslitigation.com](mailto:info@geronsecuritieslitigation.com)), that it sent Epiq the only data that it had  
7 available in its files and did not have new or different contact information. *See* Exhibit  
8 D [at 1](#) attached hereto. Fidelity Investments had 124 undeliverable addresses from the  
9 Original Class Notice phase. As a result of the additional work performed by Epiq as  
10 described in paragraph [17](#) below, Epiq obtained a total of 10 updated addresses from  
11 the USPS and TransUnion research, to which Epiq promptly mailed a Settlement  
12 Notice Packet.
- 13 b. On November 7, 2022, Vera Graham from Crews & Associates, Inc. provided Grant  
14 Lambert from Epiq [via an e-mail response to the dedicated case e-mail inbox](#)  
15 ([info@geronsecuritieslitigation.com](mailto:info@geronsecuritieslitigation.com)) with updated addresses for two potential Class  
16 Members. *See* Exhibit E [at 1](#) attached hereto.<sup>4</sup> On November 14, 2022, Epiq mailed  
17 Settlement Notice Packets to these two potential Class Members, which have not been  
18 returned to Epiq as undeliverable.
- 19 c. On November 7, 2022, Bonnie Allen from Hilltop Securities Inc. provided updated  
20 addresses for 323 potential Class Members to Grant Lambert from Epiq [via an e-mail](#)  
21 [response to the dedicated case e-mail inbox \(info@geronsecuritieslitigation.com\)](#). *See*  
22 Exhibit F [at 1](#) attached hereto.<sup>5</sup> On November 15, 2022, Epiq mailed Settlement  
23 Notice Packets to these 323 potential Class Members. Of these 323 addresses, 172

24 <sup>4</sup> I have reviewed the attachment and it contains two records. The attachment to the original e-mail is not included in  
25 this Exhibit as it contains personally identifiable information of potential Class Members.

26 <sup>5</sup> I have reviewed the attachment and it contains 323 records. The attachment to the original e-mail is not included in  
27 this Exhibit as it contains personally identifiable information of potential Class Members.

1 were returned as undeliverable. As a result of the additional work performed by Epiq  
 2 as described in paragraph ~~45-17~~ below, Epiq obtained a total of 7 updated addresses  
 3 from the USPS and TransUnion research, to which Epiq promptly mailed a Settlement  
 4 Notice Packet. These seven Settlement Notice Packets have not been returned to Epiq  
 5 as undeliverable.

6 d. Research Capital had one undeliverable address from the Original Class Notice phase  
 7 and did not respond to the November 4, 2022 email. Despite the additional address  
 8 research efforts described at paragraphs ~~45-17~~ below, Epiq was unable to locate an  
 9 updated address for this potential Class Member.

10 e. On November 7, 2022, Grant Lambert from Epiq again followed up with Jen Curtin  
 11 from Charles Schwab & Co. (i.e. another email in addition to the one set forth in  
 12 Exhibit C at 9-10) because, -d Due to a data defect issue with the file provided by  
 13 Schwab in connection with the Original Class notice, 5,470 Settlement Notice Packets  
 14 had been returned to Epiq as undeliverable. Attached hereto as Exhibit G is a true and  
 15 correct copy of the full e-mail chain between Mr. Lambert and Ms. Curtin.<sup>6</sup> After  
 16 multiple e-mails between Lambert and Curtin, on November 21, 2022, Jen Curtin at  
 17 Charles Schwab & Co. provided updated addresses for 6,103 potential Class  
 18 Members. See Exhibit G, at 1. On November 25, 2022, Epiq mailed Settlement Notice  
 19 Packets to these 6,103 potential Class Members. As of January 31, 2023, 116 of the  
 20 6,103 Settlement Notice Packets mailed on November 25, 2022 were returned to Epiq  
 21 as undeliverable. As a result of the additional work performed by Epiq as described  
 22 in paragraph ~~45-17~~ below, Epiq obtained a total of 33 updated addresses from the  
 23 USPS and TransUnion research, to which Epiq promptly mailed a Settlement Notice  
 24

25  
 26 <sup>6</sup> I have reviewed the attachment and it contains 6,103 records. The attachments to the original e-mails in the chain are  
 27 not included in this Exhibit as they contain personally identifiable information of potential Class Members.

Packet. These 33 Settlement Notice Packets have not been returned to Epiq as undeliverable.

- f. In a series of emails, the last of which appears to be dated ~~On~~ January 13, 2023, Radhakrishna Putcha from Broadridge Financial Solutions, Inc. (India) responded to Grant Lambert from Epiq and ultimately provided email addresses for 5,722 records Broadridge Financial Solutions, Inc. (India) had provided on behalf of APEX Clearing during the Original Class Notice phase. *See* Exhibit H attached hereto.<sup>7</sup> On January 20, 2023, Epiq sent Settlement Notice Packets to the 5,722 e-mail addresses provided by Broadridge. As of January 31, 2023, 230 e-mails from the 5,722 were rejected or undeliverable. Of the 230 undeliverable e-mails, Epiq obtained 35 updated mailing addresses through TransUnion research, to which Epiq promptly mailed a Settlement Notice Packet. These 35 Settlement Notice Packets have not been returned to Epiq as undeliverable.
- g. Rebecca Summers at Bank of New York Mellon did not respond to the November 4, 2022 e-mail from Grant Lambert. As a result of the additional work performed by Epiq as described in paragraph ~~15-17~~ below, of the 85 undeliverable Settlement Packets mailed to addresses Bank of New York Mellon provided in connection with the Original Class Notice, Epiq obtained a total of 10 updated addresses from the USPS and TransUnion research, to which Epiq promptly mailed a Settlement Notice Packet. These 10 Settlement Notice Packets have not been returned to Epiq as undeliverable.
- h. On November 2, 2022, Julie Gilmore from StoneX Financial Inc., emailed the dedicated case email inbox (info@geronsecuritieslitigation.com) and stated that there

<sup>7</sup> I have reviewed the attachment and it contains 5,722 email addresses. The attachments to the original e-mails in the chain are not included in this Exhibit as they contain personally identifiable information of potential Class Members. Based on Epiq's internal records, as noted above, these e-mails were provided by Broadridge Financial Solutions, Inc. (India) on behalf of APEX Clearing, although that fact is not explicitly stated in the e-mails contained in Exhibit H.



1 was “no change from the list of names and addresses sent back on June 2, 2022” and  
 2 attached the same list of names and addresses. *See* Exhibit I-1 attached hereto.<sup>8</sup> In  
 3 addition, in response to the December 16, 2022, outreach~~ed~~ conducted by Susanna  
 4 Webb, Project Manager at Epiq (*see* ¶20 below), Gilmore responded that she had  
 5 provided names and addresses on November 2, 2022. *See* Exhibit I-2 attached hereto.<sup>9</sup>

6 17. As of March 31, 2023, a total of 7,462 Settlement Notice Packets that Epiq mailed have  
 7 been returned as undeliverable to Epiq. Epiq has promptly re-mailed any Settlement Notice Packet where  
 8 an updated address has been provided to Epiq by the US Postal Service (USPS). 2/2/23 Mahn Decl.,  
 9 ¶¶20-21; 3/23/23 Supplemental Mahn Decl., ¶¶7-11. As of March 31, 2023, Epiq has re-mailed a total  
 10 of 190 Settlement Notice Packets to potential Class Members for whom an updated address was provided  
 11 by USPS. Epiq searched TransUnion’s databases for updated addresses for Settlement Notice Packets  
 12 that have been returned as undeliverable. Updated addresses were obtained for 188 potential Class  
 13 Members and Settlement Packets were mailed by Epiq to the updated addresses.

14  
 15 **IV. EPIQ RECEIVES THE FOLLOWING ADDITIONAL POTENTIAL CLASS**  
 16 **MEMBER CONTACT INFORMATION IN RESPONSE TO SETTLEMENT**  
**NOTICE**

17 18. As discussed during the March 30, 2023, Settlement Fairness Hearing, in response to -the  
 18 dissemination of the Settlement Notice Packet on the Notice Date (October 28, 2022), Epiq received a  
 19 total of 3,996 additional names and address of potential Class Members from brokerage firms, banks,  
 20 institutions and other nominees including the ones listed below:

- 21 a. **Northwestern Mutual Investment Services LLC (“Northwestern Mutual”):** On  
 22 October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to  
 23 Northwestern Mutual Investment Services LLC, 720 E Wisconsin Ave., Milwaukee,

24 <sup>8</sup> I have reviewed the attachments and they contain 30 records. The attachments to the original e-mails are not included  
 25 in this Exhibit as they contain personally identifiable information of potential Class Members.

26 <sup>9</sup> Please note that Epiq addressed its December 16, 2022 e-mail to “INTL FCStone Financial Inc, which is the former  
 27 name of StoneX Financial Inc.

WI 53202-4703. On November 3, 2022, Kelli M. Dixon, Legal Administrative Assistant at Northwestern Mutual, responded by e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and provided the names and addresses of 4 potential Class Members. <sup>10</sup> See Exhibit J attached. On November 9, 2022, Epiq mailed Settlement Notice Packets to these 4 potential Class Members. One of these mailings was returned as undeliverable and no updated address was obtained through USPS or Transunion.

b. **BNY Mellon Pershing:** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to Pershing LLC, ATTN: Legal Department, One Pershing Plaza, 10<sup>th</sup> Floor, Jersey City, NJ 07399. On November 3, 2022, Lillian Marrero from BNY Mellon Pershing provided the names and address for 3,342 potential Class Members to Grant Lambert at Epiq via e-mail. <sup>11</sup> See Exhibit K attached hereto. On November 9, 2022, Epiq mailed Settlement Notice Packets to these 3,342 potential Class Members. Of the 3,342, Settlement Notice Packets mailed, 108 were returned to Epiq as undeliverable. Of the 108 undeliverable Settlement Notice Packets, 7 were re-mailed to an updated address provided by USPS and 3 were mailed to an updated address provided by TransUnion.

c. **BancWest Investment Services:** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to BancWest Investment Services, 13505 California St., Omaha NE 68145-5247. On November 4, 2022, Michael Smith, BWIS Operational Risk Analyst Officer at BancWest Investment Services, responded by e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and provided the name and address of 1 potential Class Member. *See* Exhibit L attached

<sup>10</sup> I have reviewed the attachments and they contain four records. The attachments to the original e-mail are not included in this Exhibit as they contain personally identifiable information of potential Class Members.

<sup>11</sup> I have reviewed the attachment and it contains 3,342 records. The attachment to the original e-mail is not included in this Exhibit as it contains personally identifiable information of potential Class Members.

1 hereto.<sup>12</sup> On November 10, 2022, Epiq mailed a Settlement Notice Packets to the 1  
2 potential Class Member that has not been returned to Epiq as undeliverable.

3 d. **Stephens Inc.:** On October 28, 2022, Epiq mailed the Settlement Notice Packet and  
4 Cover Letter to Stephens Inc., 111 Center St., Suite 200, Little Rock, Arkansas 72201-  
5 4425. On November 14, 2022, Nina Vincent, Assistant Compliance “Officer/Internal  
6 Auditor at Stephens, Inc., responded by e-mail to the dedicated case e-mail inbox  
7 (info@geronsecuritieslitigation.com) and provided the name and address of one  
8 potential Class Member. See Exhibit M attached hereto.<sup>13</sup> On November 21, 2022,  
9 Epiq mailed a Settlement Notice Packet to the one potential Class Member which, has  
10 not been returned to Epiq as undeliverable.

11 e. **Kessler Topaz Metzler & Check LLP:** On October 28, 2022, Epiq mailed the  
12 Settlement Notice Packet and Cover Letter to Kessler Topaz Metzler & Check LLP at  
13 280 King of Prussia Rd., Radnor, PA 19087-5110. On November 18, 2022, Molly  
14 McAllister, Personal Communications & Claim Specialist at Kessler Topaz Metzler  
15 & Check LLP, responded by e-mail to the dedicated case e-mail inbox  
16 (info@geronsecuritieslitigation.com) and provided the names and addresses for 349  
17 potential Class Members. See Exhibit N attached hereto.<sup>14</sup> On November 25, 2022,  
18 Epiq mailed Settlement Notice Packets to these 349 potential Class Members. Of the  
19 349 Settlement Notice Packets mailed, 48 were returned to Epiq as undeliverable. Of  
20 the 48 undeliverable Settlement Notice Packets, 5 were re-mailed to an updated  
21

22  
23 <sup>12</sup> I have reviewed the attachment and it contains one record. The attachment to the original e-mail is not included in  
24 this Exhibit as it contains personally identifiable information of a potential Class Member.

25 <sup>13</sup> I have reviewed the attachment and it contains one record. The attachment to the original e-mail is not included in  
26 this Exhibit as it contains personally identifiable information of potential Class Members.

27 <sup>14</sup> I have reviewed the attachments and it contains 349 records. The attachment to the original e-mail is not included in  
28 this Exhibit as it contains personally identifiable information of potential Class Members.

address provided by USPS and 1 was mailed to an updated address provided by TransUnion.

f. **Royal Bank of Canada (RBC):** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to Deborah Nicholas, Shareholder Services Department, RBC Dominion Securities Inc., 180 Wellington Street West, 9<sup>th</sup> Floor, Toronto, ON M5J0C2. On November 21, 2022, Neelam Somaiah from RBC Dominion Securities Inc. provided the names and addresses for 186 potential Class Members to Epiq via the uploader tool on the settlement website<sup>15</sup>. See Exhibit O attached hereto. On November 29, 2022, Epiq mailed Settlement Notice Packets to these 186 potential Class Members. Of the 186 Settlement Notice Packets mailed, 5 were returned to Epiq as undeliverable and no updated addresses were obtained from USPS or TransUnion.

g. **Broadridge Financial Solutions, Inc. (“Broadridge US”):** On October 28, 2022, Epiq mailed the Settlement Notice Packet and Cover Letter to Broadridge, 51 Mercedes Way, Edgewood, NY 11717-8368. Epiq also e-mailed a courtesy copy of the Settlement Notice Packet to Broadridge US at classactionmailingservice@broadridge.com on October 28, 2022 at 4:16 p.m. Pacific Time. See Exhibit P-1 attached hereto. On November 23, 2022, Denise Macejko, Senior Client Project Administrator from Broadridge e-mailed Epiq via the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) to request 47,780 sets of the Settlement Notice Packets, indicating that the clients of Broadridge to be “serviced” with the notices were: BMO Nesbitt Burns, Wells Fargo Securities, Morgan Stanley WM, Wedbush Securities (103 Entity), Wells Fargo Clearing, Nomura, TD Ameritrade, RBC, U.S. Bancorp, Stifel, J.P. Morgan Securities, D.A. Davidson & Co., Edward Jones, E\*Trade, R.W. Baird, Raymond James, National Financial Services,

<sup>15</sup> I have access to the case database and have reviewed the upload of this file and confirm that it contains 186 records.

1 LPL Financial, Barclays, Vanguard, Ameriprise, Scotiabank, Banque Scotia, Vision  
 2 Financial, Tradestation, Muriel, Siebert & Co., Deutsche Bank and Merrill Lynch. A  
 3 true and correct copy of this e-mail is attached as Exhibit P-2 hereto and includes a  
 4 series of further emails discussed herein. Epiq's records show that by December 9,  
 5 2022, Epiq had mailed all 47,780 Settlement Notice Packets to Broadridge. ~~At On~~  
 6 January 17, 2023, at the request of Class Counsel, Lambert emailed Macejko to  
 7 confirm the number of Settlement Notice Packets that Broadridge mailed out. See  
 8 Exhibit P-2 at 2. On January 18, 2023, Lambert and received a responsive e-mail  
 9 stating that 45,532 had been mailed to the clients listed above, and in addition,  
 10 including Morgan Stanley (050). See Exhibit P-2 at 1-2. Macejko informed Lambert  
 11 that Broadridge declined to provide the names of the actual list of shareholders' names  
 12 to whom the notices were mailed. See Exhibit P-2 at 2. On January 20, 2023,  
 13 Broadridge confirmed that it had mailed the Settlement Notice on December 9 and 12,  
 14 2022. See Exhibit P-2 at 1. Based on the amount of mailings that Macejko confirmed  
 15 had been mailed, it appeared to Epiq at that time and that Broadridge had requested  
 16 more than 2,000 blank notices than needed. See Exhibit P-2 at 1.

17  
 18 **V. EPIQ SENDS AN ADDITIONAL REMINDER LETTER TO 32 NOMINEES ON**  
 19 **DECEMBER 16, 2022 AT THE REQUEST OF CLASS COUNSEL AFTER EPIQ**  
 20 **REPORTED NOT RECEIVING COMMUNICATIONS FROM THESE NOMINEES**  
 21 **IN RESPONSE TO THE INITIAL NOTICE DATE MAILING**

22 19. In addition to the Epiq Nominee List that Epiq maintains (see ¶1-5 supra), Epiq also tracks  
 23 the nominees, brokers, and Third Party Filers who frequently file in class actions. This list is a much  
 24 smaller list than the Epiq Nominee List. In Epiq's experience, these are the filers who commonly  
 25 participate in settlements by providing names and addresses to Epiq of potential class members,  
 26 requesting bulk notices to be sent to potential class members, and/or by filing claims in the settlement.

27 19-20. On December 16, 2022, at the request of Class Counsel, Susanna Webb of Epiq sent an  
 28 e-mail communication, from the dedicated case e-mail inbox (info@geronsecuritieslitigation.com), to 32

of the brokers/nominees<sup>16</sup> on the Epiq Nominee List because Epiq advised Class Counsel that it had not yet heard from these 32 brokers/nominees and wanted to ensure that they each had received a Settlement Notice Packet or had requested the appropriate number of Settlement Notice Packets, that they were following the Settlement Notice's specific instructions as regards nominees/brokers, and that they were communicating the notices to investors via e-mail, where possible. *See* 2/2/23 Mahn Decl., ¶18. These 32 were selected because they are among the nominees, brokers, and Third Party Filers who frequently file claims for potential class members in class actions, or request settlement notices to be sent to potential class members.

20-21. I attach hereto as Exhibit Q a true and correct copy of the December 16, 2022 e-mails from Ms. Webb that were also previously submitted as Exhibit C to the 2/2/23 Mahn Decl. The As a result of this December 16, 2022 outreach is as follows, the following nominees responded:

- a. **Alliance Bernstein:** On December 16, 2022, Stephanie Campos, AO/Class Actions & Proxy Team Leader at Alliance Bernstein responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) that it was aware of the Geron Securities Class Action Litigation and will be filing on behalf of affected eligible accounts. *See* Exhibit R attached hereto.
- b. **Alliant Securities:** On December 21, 2022, Melody Grinnell at Alliant Securities responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and stated "we had no purchases during the class period." *See* Exhibit S attached hereto.
- c. **BB&T Securities (now known as Truist Bank):** On December 20, 2022, Jesse Sprouse at Truist Wealth or Truist Investment Services, Inc. responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and stated that Truist had responded to the Original Class Notice on June 6, 2022. *See* Exhibit T attached hereto.

<sup>16</sup> Please note that four of the 32 brokers/nominees with whom Epiq followed up had in fact already provided names and addresses in response to the October 28, 2022 and were inadvertently included in this outreach. These brokers are discussed in ¶¶ 16(h), 18 (a),(d),and (f) *supra*.

The date reference of June 6, 2022 means that Ms. Sprouse was referring to the Original Class Notice regarding certification of the Class. (See ¶-9, *supra*, Ex. GG at 8 for Truist's original e-mail submission.)

- d. **BMO Securities:** On December 16, 2022, Ph~~u~~thorn Penikett, Senior Class Action Service Representative at BMO, responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) that BMO used Broadridge U.S. for class mailings and that Broadridge has already mailed notice to their clients. *See* Exhibit U attached hereto. In addition, the November 23, 2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge's request for blank packets was on behalf of BMO Securities. *See* Exhibit P-2 at 3.
- e. **CIBC:** On January 3, 2023, Jerry Nicastro on behalf of CIBC [with a reference to the Broadridge Investor Communications Corporation] responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and requested 225 copies of the Settlement Notice Packets. *See* Exhibit V at 2 attached hereto. On January 17, 2023, Grant Lambert of Epiq e-mailed Mr. Nicastro of CIBC, indicating that, on behalf of Class Counsel, he wanted to know how many of the Settlement Notice Packets (referred to as the "Notices" in the e-mail) that CIBC disseminated and requested a list of the class members to whom CIBC sent the Notice(s). *See* Exhibit V at 1. Nicastro responded on January 18, 2023 to Lambert that the mailing was completed on January 9, 2023 to 200 beneficial owners "whom have been identified as potentially eligible class members." Nicastro declined to provide the class list information. Id at 1.
- f. **Citigroup:** On February 13, 2023, Maureen Chatfield from Citigroup e-mailed a claim filing submission to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). *See* Exhibit W attached hereto.
- g. **COR Clearing LLC (successor is Axos Clearing):** COR Clearing LLC ("Cor"), is the predecessor company to Axos Clearing. Accordingly, the December 16, 2022 e-mail

1 outreach from Susanna Webb at Epiq sent to COR Clearing LLC was returned to the  
 2 dedicated case e-mail inbox (info@geronsecuritieslitigation.com) at Epiq as  
 3 undeliverable on December 16, 2022. *See* Exhibit X at 2-16 attached hereto. At the end  
 4 of January 2023, Epiq obtained contact information for Axos Clearing, as the successor  
 5 to COR and Susanna Webb sent another e-mail outreach from the case e-mail inbox  
 6 (info@geronsecuritieslitigation.com) on January 31, 2023 to Axos Clearing Corporate  
 7 Actions at corporate.actions@axosclearing.com. *See* Exhibit X at 17. On January 31,  
 8 2023, Axos Clearing responded via e-mail to the dedicated case e-mail inbox that they  
 9 had received Epiq's e-mail. *See* Exhibit X at 18. On February 6, 2023, Bailey from Axos  
 10 Clearing provided the names and addresses for 113 potential Class Members via e-mail  
 11 to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). *Id* at 20.<sup>17</sup> On  
 12 February 13, 2023, Epiq mailed Settlement Notice Packets to these 113 potential Class  
 13 Members. ~~Exhibit X.~~

- 14 h. **DA Davidson:** The November 23, 2022 email from Denise Macejko at Broadridge (US)  
 15 indicated that Broadridge's request for blank packets was on behalf of DA Davidson. *See*  
 16 Exhibit P-2 at 3.
- 17 i. **Goldman Sachs:** On January 4, 2023, in an e-mail to the dedicated case e-mail inbox  
 18 (info@geronsecuritieslitigation.com), Goldman Sachs requested 300 blank Settlement  
 19 Notice Packets that Goldman Sachs would send to potential Class Members. *See* Exhibit  
 20 Y at 4-5 attached hereto. Epiq mailed these Settlement Notice Packets to Goldman Sachs  
 21 on January 6, 2023. On January 17, 2023, Grant Lambert, Project Director at Epiq e-  
 22 mailed Roshi Rajasekaran, Neil Philip, and gs-as-ny-classaction@gs.com at Goldman  
 23 Sachs requesting confirmation that Goldman had disseminated the Settlement Notice  
 24 Packets that Epiq sent to it. *See* Exhibit Y at 4. Lambert followed up again on January 20,

25  
 26 <sup>17</sup> I have reviewed the attachment and it contains 113 records. The attachment to the original e-mail is not included in  
 27 this Exhibit as it contains personally identifiable information of potential Class Members.



2023, January 27, 2023, and February 1, 2023. Id at 2-3. On February 2, 2023, Alexander Muchnick, Vice President, Asset Servicing at Goldman Sachs responded “we can provide the amount of mailings we are sending, however, we are bound by client confidentiality to not disclose who the clients are.” Id at 2. Lambert responded on February 2, 2023 requesting that Mr. Muchnick provide the number of notices Goldman Sachs mailed. Id. Muchnick then responded that Goldman mailed to 246 addresses on January 18, 2023. Id at 1.

- j. **Edward Jones:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge’s request for blank packets was on behalf of Edward Jones. See Exhibit P-1, page 3.
- k. **Janney Montgomery Scott:** Susanna Webb at Epiq followed up again with Janney Montgomery Scott on January 31, 2023. An e-mail was sent to the e-mail address Epiq has on file Janney Montgomery Scott: Zz-Janney Montgomery Scott LLC@janney.com. See Exhibit Z attached hereto. ~~To date~~ As of April 3, 2023, Epiq ~~has had~~ not received a response from Janney Montgomery Scott-.
- l. **JP Morgan:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge’s request for blank packets was on behalf of J.P. Morgan Securities. See Exhibit P-2 at 3. Further, on February 13, 2023, Meade Reynolds at Financial Recovery Technologies e-mailed the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) with a claim filing submission on behalf of JP Morgan Various Clients. See Exhibit AA attached hereto.<sup>18</sup>
- m. **JPMorgan Clearing Corp.:** On December 21, 2022, Ayana Clayton, Asset Specialist at JPMorgan Chase responded that the names and addresses were sent to Broadridge on November 8, 2022. See Exhibit BB attached hereto. As noted above, the November 23,

<sup>18</sup> The attachment to the original e-mail is not included in this Exhibit as it contains personally identifiable information of potential Class Members.

2022 e-mail from Denise Macejko at Broadridge (US) indicated that Broadridge's request for blank packets was on behalf of J.P. Morgan Securities. *See* Exhibit P-2 at 3.

- n. **KeyBanc Capital Markets:** On December 16, 2022, Amy Reading at KBCM Account Services responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) and indicated that Pershing would be responding on their behalf "as they process class action request for us from these time periods." *See* Exhibit CC attached hereto. As noted above, on November 3, 2022, Lillian Marrero from BNY Mellon Pershing provided the names and address for 3,342 potential Class Members. *See* Exhibit K at 1.
- o. **Mackie Research Capital Corporation:** Based on additional research performed, Mackie Research Capital Corporation changed its name to Research Capital Corporation. Research Capital Corporation provided names and addresses in response to the Original Class Notice via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). *See* ¶¶ 9, 16 above.
- p. **Mesirow Financial Inc.:** Susanna Webb at Epiq followed up again with Mesirow Financial Inc. on January 31, 2023 from the dedicated case e-mail inbox (info@geronsecuritieslitigation.com). An e-mail was sent to the e-mail address Epiq has on file for Mesirow Financial: marketdataservices@mesirofinancial.com. *See* Exhibit DD attached hereto. ~~To date~~ As of April 3, 2023, Epiq ~~has had not~~ received a response from Mesirow Financial Inc.
- q. **Needham & Company LLC:** On December 16, 2022, Alex Krasner at Needham & Company, LLC responded via e-mail to the dedicated case e-mail inbox (info@geronsecuritieslitigation.com) that Needham did not have any holders of eligible securities. *See* Exhibit EE attached hereto.

- 1 r. **Pensco Trust Company:** Based on additional research performed, Pensco Trust  
 2 Company is part of Pacific Premier Trust. Pacific Premier Trust provided names and  
 3 addresses in response to the Original Class Notice. *See* ~~¶¶~~paragraph 9, 16 above.
- 4 s. **Piper Jaffray:** Based on additional research performed, Piper Jaffray is now known as  
 5 Piper Sandler. Piper Sandler provided names and addresses of potential Class Members  
 6 in response to the Original Class Notice via e-mail to the dedicated case e-mail inbox  
 7 (info@geronsecuritieslitigation.com). *See* paragraph ~~8~~9 above.
- 8 t. **Raymond James:** The November 23, 2022 e-mail from Denise Macejko at Broadridge  
 9 (US) indicated that Broadridge's request for blank packets was on behalf of Raymond  
 10 James. *See* Exhibit P-2 at 3.
- 11 u. **Scottrade:** This e-mail was returned to Epiq as undeliverable. Scottrade is now a part of  
 12 TD Ameritrade. The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
 13 indicated that Broadridge's request for blank packets was on behalf of TD Ameritrade.  
 14 *See* Exhibit P-2 at 3.
- 15 v. **Societe Generale:** On ~~February~~ January 25, 2023, Mahmoud Bouachra from Societe  
 16 Generale e-mailed a claim filing submission to the dedicated case e-mail inbox  
 17 (info@geronsecuritieslitigation.com). *See* Exhibit FF attached hereto.
- 18 w. **Stifel Nicolaus & Company Inc.:** The November 23, 2022 e-mail from Denise Macejko  
 19 at Broadridge (US) indicated that Broadridge's request for blank packets was on behalf  
 20 of Stifel. *See* Exhibit P-2 at 3.
- 21 x. **Stock Cross Financial Services:** Stock Cross Financial Services is now known as Muriel  
 22 Seibert. The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
 23 indicated that Broadridge's request for blank packets was on behalf of Muriel Seibert. *See*  
 24 Exhibit P-2 at 3.

1 y. **Systematic Financial Management LP:** ~~To date~~As of April 3, 2023, Epiq ~~has had~~ not  
 2 received a response from Systematic Financial Management LP to the December 16, 2022  
 3 e-mail from Susanna Webb at Epiq.

4 z. **US Bancorp Investments:** The November 23, 2022 email from Denise Macejko at  
 5 Broadridge (US) indicated that Broadridge's request for blank packets was on behalf of  
 6 U.S. Bancorp. *See* Exhibit P-2 at 3.

7 aa. **Wedbush:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
 8 indicated that Broadridge's request for blank packets was on behalf of Wedbush  
 9 Securities. *See* Exhibit P-2 at 3.

10 bb. **Wells Fargo:** The November 23, 2022 e-mail from Denise Macejko at Broadridge (US)  
 11 indicated that Broadridge's request for blank packets was on behalf of Wells Fargo  
 12 Securities Wells Fargo Clearing. *See* Exhibit P-2 at 3.

13 I declare under penalty of perjury under the laws of the United States of America that the  
 14 foregoing is true and correct.

15 Executed this ~~3rd~~21st day of April 2023 at Massapequa Park, New York.

16  
 17 

18  
 19 Stephanie Amin-Giwner  
 20 Stephanie Amin-Giwner

# EXHIBIT 3

# EXHIBIT P-1

**From:** [info\\_GeronSecuritiesLitigati](mailto:info_GeronSecuritiesLitigati)  
**To:** [classactionmailingservice@broadridge.com](mailto:classactionmailingservice@broadridge.com)  
**Subject:** Julia Junge and Richard Junge v. Geron Corporation and John A. Scarlett, No. 3:20-cv-00547-WHA (DMR) - Notice of Proposed Settlement  
**Date:** Friday, October 28, 2022 4:15:00 PM

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### **Notice of Proposed Settlement**

The purpose of this Notice is to inform you of a class action settlement resolved in the United States District Court for the Northern District of California (the "Court") under *Junge v. Geron Corp. et al.*, Case No. 3:20-cv-00547-WHA (the "Action") against Geron Corporation ("Geron") and Individual Defendant John A. Scarlett (collectively, "Defendants"). The Settlement Notice describes important rights you may have and what steps you must take if you wish to participate in the Settlement or wish to be excluded from the Class. The Proof of Claim and Release Form details what information needs to be provided to participate in the Settlement.

The links to both the Settlement Notice and Proof of Claim and Release Form can be found below. You may also contact us if you would like the Settlement Notice and Proof of Claim and Release Form mailed to you directly.

Settlement Notice:

<https://GeronSecuritiesLitigation.com/Home/Documents>

Proof of Claim and Release Form:

<https://GeronSecuritiesLitigation.com/Home/SubmitClaim>

For more information about the Action and your rights in this Action, please visit the Geron Securities Litigation Website at <http://www.GeronSecuritiesLitigation.com/> or contact the Administrator via toll-free number (844) 754-5537.

**Please do not call or write the Court. If you have questions after reading this Settlement Notice, you should contact the Claims Administrator or Lead Counsel, as discussed in the Settlement Notice.**

Claims Administrator

Geron Securities Litigation

# EXHIBIT P-2



## Amin-Giwner, Stephanie

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**From:** Class Action Mailing Service <ClassActionMailingService@Broadridge.com>  
**Sent:** Friday, January 20, 2023 3:09 PM  
**To:** Lambert, Grant; Class Action Mailing Service  
**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161

Hi Grant,

Job N80161 completed on 12/9 and jobs N79471 and N79472 completed on 12/12/22.

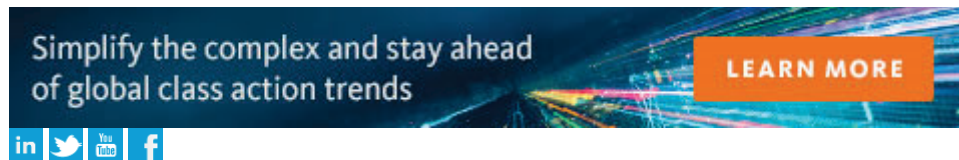
Thanks and Regards,

Denise Macejko | Senior Client Project Administrator, Corporate Actions | Broadridge Financial Solutions, Inc.  
51 Mercedes Way | Edgewood, NY 11717 | USA | p +1 631-274-2783 | Email [denise.macejko@broadridge.com](mailto:denise.macejko@broadridge.com)

**MATERIAL DELIVERY ADDRESS (PACKING SLIP & JOB # REFERENCE REQUIRED):**

Attn: Corporate Actions | Broadridge | 51 Mercedes Way | Edgewood, NY 11717

**\*\*Note:** Materials for different events CANNOT be mixed in boxes or on skids.



[broadridge.com](http://broadridge.com)

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**From:** Lambert, Grant <glambert@epiqglobal.com>  
**Sent:** Friday, January 20, 2023 2:37 PM  
**To:** Class Action Mailing Service <ClassActionMailingService@Broadridge.com>  
**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161  
**Importance:** High

**EXTERNAL EMAIL**

Hello Broadridge Team,

Quick question – what date did you mail these on?

---

**From:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>  
**Sent:** Wednesday, January 18, 2023 8:10 AM  
**To:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>; Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161

Good Morning Grant,

We disseminated a total of 45,352 notices on behalf of our clients which were listed below in our material request email. We also distributed for Morgan Stanley (050).

If you are looking for more than our list of bank/broker names, we cannot provide you with the actual list of shareholder names the notices were sent to.

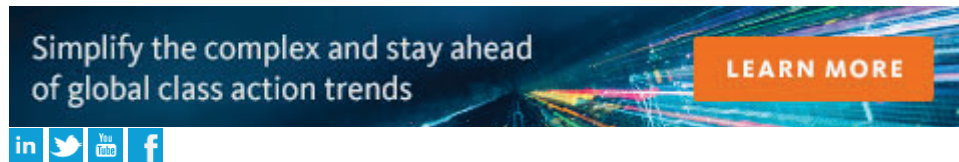
Thanks and Regards,

Denise Macejko | Senior Client Project Administrator, Corporate Actions | Broadridge Financial Solutions, Inc.  
51 Mercedes Way | Edgewood, NY 11717 | USA | p +1 631-274-2783 | Email [denise.macejko@broadridge.com](mailto:denise.macejko@broadridge.com)

**MATERIAL DELIVERY ADDRESS (PACKING SLIP & JOB # REFERENCE REQUIRED):**

Attn: Corporate Actions | Broadridge | 51 Mercedes Way | Edgewood, NY 11717

**\*\*Note:** Materials for different events CANNOT be mixed in boxes or on skids.



[broadridge.com](http://broadridge.com)

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**From:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Sent:** Tuesday, January 17, 2023 7:50 PM

**To:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Subject:** RE: Material Request: GERON CORPORATION Job # N79471 N79472 N80161

**EXTERNAL EMAIL**

Hello Broadridge Team,

I hope you are well.

At the request of Class Counsel can you please confirm the number of Notices disseminated as well as a list of class member you sent the Notice to.

Please provide by 1/24/23.

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

---

**From:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>

**Sent:** Wednesday, November 23, 2022 6:25 AM

**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Cc:** Class Action Mailing Service <[ClassActionMailingService@Broadridge.com](mailto:ClassActionMailingService@Broadridge.com)>; Lambert, Grant  
<[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>

**Subject:** Material Request: GERON CORPORATION Job # N79471 N79472 N80161

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hello,

Please send 47,780 sets of the Class Action litigation material for GERON CORPORATION and reference Job # N79471 N79472 N80161.

Please note, we did not receive approval for e-delivery reimbursement. If e-delivery reimbursement can be made available for the approximate 22,737 emails, we would only require 25,043 copies of material to complete our request.

**\*\*NOTE: You must include a packing slip. Please review the attached document for delivery guidelines and packing instructions. Materials for different events cannot be mixed together in boxes or on skids. If the materials are already inserted into an outgoing envelope, please ensure the envelope is sealed.\*\***

**Clients being Serviced:**

BMO NESBITT BURNS  
WELLS FARGO SECURITIES  
MORGAN STANLEY WM  
WEDBUSH SECURITIES (103 ENTITY)  
WELLS FARGO CLEARING  
NOMURA  
TD AMERITRADE  
RBC  
U.S. BANCORP  
STIFEL  
J.P. MORGAN SECURITIES  
D.A. DAVIDSON & CO.  
EDWARD JONES  
E\*TRADE  
R.W. BAIRD  
RAYMOND JAMES  
NATIONAL FINANCIAL SERVICES  
LPL FINANCIAL  
BARCLAYS  
VANGUARD  
AMERIPRISE  
SCOTIABANK  
BANQUE SCOTIA  
VISION FINANCIAL  
TRADESTATION  
MURIEL, SIEBERT, & CO.  
DEUTSCHE BANK  
MERRILL LYNCH

Please note, we are still awaiting a response from Morgan Stanley (050) and may submit an additional order on their behalf.

Kindly confirm receipt of this request at your nearest convenience, and how many copies we should expect to deliver. If e-delivery is approved, please advise which link/label combination should be leveraged.

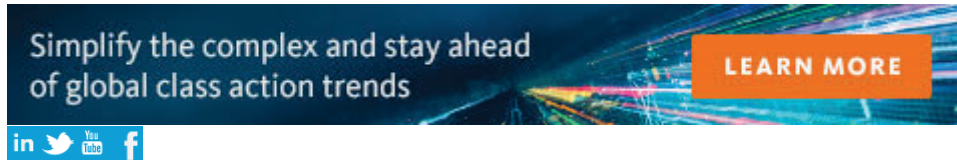
Thanks and Regards,

Denise Macejko | Senior Client Project Administrator, Corporate Actions | Broadridge Financial Solutions, Inc.  
51 Mercedes Way | Edgewood, NY 11717 | USA | p +1 631-274-2783 | Email [denise.macejko@broadridge.com](mailto:denise.macejko@broadridge.com)

**MATERIAL DELIVERY ADDRESS (PACKING SLIP & JOB # REFERENCE REQUIRED):**

Attn: Corporate Actions | Broadridge | 51 Mercedes Way | Edgewood, NY 11717

\*\*Note: Materials for different events CANNOT be mixed in boxes or on skids.



[broadridge.com](http://broadridge.com)

This message and any attachments are intended only for the use of the addressee and may contain information that is privileged and confidential. If the reader of the message is not the intended recipient or an authorized representative of the intended recipient, you are hereby notified that any dissemination of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by e-mail and delete the message and any attachments from your system.

This message and any attachments are intended only for the use of the addressee and may contain information that is privileged and confidential. If the reader of the message is not the intended recipient or an authorized representative of the intended recipient, you are hereby notified that any dissemination of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by e-mail and delete the message and any attachments from your system.

This message and any attachments are intended only for the use of the addressee and may contain information that is privileged and confidential. If the reader of the message is not the intended recipient or an authorized representative of the intended recipient, you are hereby notified that any dissemination of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by e-mail and delete the message and any attachments from your system.

# EXHIBIT 4



**Broadridge**

Ready for Next

Thursday, April 13, 2023

Kaplan Fox & Kilsheimer LLP  
800 Third Avenue, 38<sup>th</sup> Floor  
New York, NY 10022

To whom this may concern,

This letter is in response to the legal notice dated April 5, 2023, received in the matter of *Junge, et al v. Geron, et al.*, 3:20-cv-00547-WHA.

Broadridge is a Financial Solutions organization supporting the regulatory distribution and communication needs of Bank and Broker Dealers. To name a few, among these communications are Proxy, Corporate Action, and Class Action. Related to Class Action events, Broadridge acts as an agent on behalf of our clients. Our responsibility is to provide pertinent case details including security information, class period, and shareholder eligibility requirements. We collect confidential shareholder data on a case-by-case basis from our Nominee clients, communicate material needs to the notification administrator, and fulfill material distribution to potentially impacted class members.

To address the specific questions in the letter we are providing the response on behalf of our collective client base.

1. **When did the Settlement Notice Packets and/or instructions from Epiq arrive?**
  - Broadridge received an e-mail on October 28, 2022, at 7:16 pm (Friday after normal business hours) notifying us of this settlement event. We notified our thirty-three clients (at the time) the next business day, Monday, October 31, 2022, to identify any and all potential class members.
2. **When did you reply to Epiq concerning the Settlement Notice Packets and/or instructions? If you did not reply, please explain why.**
  - We responded to Epiq requesting 47,780 claim packets in aggregate on November 23, 2022: this represented customers of twenty-nine brokers. We received the claim packets in tranches. Specifically, Broadridge received approximately 16,000 claim packets on 12/7/2022. We followed up with Epiq on 12/7/2022 and 12/8/2022, explaining that we only received about one-third of the claim packets. We received the balance of materials on 12/9/2022. Once we received all of the material, we began mailing them to our client's customers.

Broadridge Financial Solutions, Inc.  
51 Mercedes Way  
Edgewood, NY 11717



**Broadridge**

Ready for Next

**3. When did you send out the Settlement Notice Packets to potential Class members and what accounted for any delay? In response to this question, you must provide specific dates you mailed/e-mailed and/or caused delivery of the Settlement Notice Packets and the number of potential Class members to whom you mailed/emailed and/or delivered the Settlement Notice Packets on each date.**

- Once we received all requested claim packets on 12/9/2022 we began the mailings, and mailed packets as follows:
  - 1<sup>st</sup> Mailing: 2,663 class members mailed on 12/9/2022 (same day all the claim packets were received)
  - 2<sup>nd</sup> Mailing: 41,538 class members mailed on 12/12/2022 (the next business day after all claim packets were received)
  - 3<sup>rd</sup> Mailing: 928 class members mailed on 12/12/2022 (the next business day after all claim packets were received)
  - 4<sup>th</sup> Mailing, N81490, of 223 class members mailed on 12/21/2022. In addition to the three mailings above, Broadridge received a shareholder file from one nominee of these potential class members after the initial mailings were completed. This additional file was received on 12/16/2022, loaded, processed, and completed mailing on 12/21/2022 as indicated. We did not need to request additional materials in order to complete this distribution.

As you can see from the above, nearly all mailings completed by Broadridge on behalf of its clients were mailed the same day or the next business day after all materials were received from the notice administrator. All materials were mailed first class via the USPS, as we were advised by the claims administrator that e-delivery could not be utilized. The dates above reflect the post mark dates.

In addition to the specific questions answered above from the letter Broadridge received dated April 5, 2023, counsel has asked us to provide certain information about our clients who had customers that were potential class members. The attached chart provides our client list, and the clients return address designation.

Sincerely,

A handwritten signature in black ink that reads "Stephanie Caracciolo". The signature is fluid and cursive.

Stephanie Caracciolo  
Director, Client Service

Broadridge Financial Solutions, Inc.  
51 Mercedes Way  
Edgewood, NY 11717

Broadridge.com

<b>Client</b>	<b>Raw Record Count</b>	<b>Return Address</b>
BMO NESBITT BURNS	229	Claims Admin.
WELLS FARGO SECURITIES	12	Claims Admin.
MORGAN STANLEY WM (015)	142	Claims Admin.
WEDBUSH SECURITIES (103)	109	Claims Admin.
WELLS FARGO CLEARING	1,506	Claims Admin.
NOMURA	9	Claims Admin.
TD AMERITRADE	16,752	Claims Admin.
RBC	254	Claims Admin.
U.S. BANCORP	41	Claims Admin.
STIFEL	121	Claims Admin.
J.P. MORGAN SECURITIES	453	Claims Admin.
D.A. DAVIDSON & CO.	55	Claims Admin.
EDWARD JONES	856	Claims Admin.
E*TRADE	7,247	Claims Admin.
R.W. BAIRD	25	Claims Admin.
RAYMOND JAMES	464	Claims Admin.
MORGAN STANLEY PS (050)	225	Claims Admin.
NATIONAL FINANCIAL SERVICES	11,356	Claims Admin.
LPL FINANCIAL	521	Claims Admin.
BARCLAYS	176	Claims Admin.
VANGUARD	1,210	Claims Admin.
AMERIPRISE	228	Self
SCOTIABANK	205	Self
BANQUE SCOTIA	10	Self
VISION FINANCIAL	202	Self
TRADESTATION	239	Self
MURIEL, SIEBERT & CO.	17	Self
DEUTSCHE BANK	27	Self
MERRILL LYNCH	2,663	Claims Admin.



# EXHIBIT 5

# EXHIBIT Y

## Amin-Giwner, Stephanie

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**From:** Alexander.Muchnik@ny.email.gs.com <Alexander.Muchnik@gs.com>  
**Sent:** Thursday, February 2, 2023 11:57 AM  
**To:** Lambert, Grant; Rajasekaran, Roshni; info\_GeronSecuritiesLitigati  
**Cc:** gs-as-ny-class-action@ny.email.gs.com; Phillip, Neil  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Thanks Grant

We mailed to 246 addresses on 1/18/23. We always round up on the docs requested just in case – I hope that's not an issue as we are fairly new to self-serving physical mailing post Covid. Also, can you help us understand to the questions being asked of us? I am considering outsourcing the mailings and would like to get a sense of what to expect from claims admin's

### Alexander Muchnik

Asset Servicing I Vice President  
Goldman, Sachs & Co. LLC  
200 West St. – 16<sup>th</sup> Floor | New York, NY 10282  
Tel: +1- 917-343-9386  
NYC Hotline: +1-212-357-6221  
[alexander.muchnik@gs.com](mailto:alexander.muchnik@gs.com)

---

**From:** Muchnik, Alexander [GMD]  
**Sent:** Thursday, February 2, 2023 11:19 AM  
**To:** Lambert, Grant <glambert@epiqglobal.com>; Rajasekaran, Roshni [GMD] <Roshni.Rajasekaran@ny.email.gs.com>; info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Cc:** gs-as-ny-class-action <gs-as-ny-class-action@ny.email.gs.com>; Phillip, Neil [CWS] <Neil.Phillip@ny.email.gs.com>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Working on it. We have a facilities team that takes care of it as we do not do it out of ops

Let me get the info and come back to you

### Alexander Muchnik

Asset Servicing I Vice President  
Goldman, Sachs & Co. LLC  
200 West St. – 16<sup>th</sup> Floor | New York, NY 10282  
Tel: +1- 917-343-9386  
NYC Hotline: +1-212-357-6221  
[alexander.muchnik@gs.com](mailto:alexander.muchnik@gs.com)

---

**From:** Lambert, Grant <glambert@epiqglobal.com>  
**Sent:** Thursday, February 2, 2023 11:04 AM

**To:** Muchnik, Alexander [GMD] <Alexander.Muchnik@ny.email.gs.com>; Rajasekaran, Roshni [GMD] <Roshni.Rajasekaran@ny.email.gs.com>; info\_GeronSecuritiesLitigati <info@GeronSecuritiesLitigation.com>  
**Cc:** gs-as-ny-class-action <gs-as-ny-class-action@ny.email.gs.com>; Phillip, Neil [CWS] <Neil.Phillip@ny.email.gs.com>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Alexander,

Thank you very much for getting back to me.

Can you please provide the number of notices you mailed, and the date they were sent out?

**Grant Lambert**

Epiq | Project Director  
10300 SW Allen Blvd  
Beaverton, OR 97005  
Mobile: 503 207 3661  
Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

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**From:** [Alexander.Muchnik@ny.email.gs.com](mailto:Alexander.Muchnik@ny.email.gs.com) <[Alexander.Muchnik@gs.com](mailto:Alexander.Muchnik@gs.com)>  
**Sent:** Thursday, February 2, 2023 7:26 AM  
**To:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>; Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hi Grant, we can provide the amount of mailings we are sending, however, we are bound by client confidentiality to not disclose who the clients are

Not sure why this information is needed as the mailing without any client response could be made public.

**Alexander Muchnik**

Asset Servicing I Vice President  
Goldman, Sachs & Co. LLC  
200 West St. – 16<sup>th</sup> Floor | New York, NY 10282  
Tel: +1- 917-343-9386  
NYC Hotline: +1-212-357-6221  
[alexander.muchnik@gs.com](mailto:alexander.muchnik@gs.com)

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**From:** Lambert, Grant <[glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)>  
**Sent:** Wednesday, February 1, 2023 3:46 PM  
**To:** Rajasekaran, Roshni [GMD] <[Roshni.Rajasekaran@ny.email.gs.com](mailto:Roshni.Rajasekaran@ny.email.gs.com)>; info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** gs-as-ny-class-action <[gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com)>; Phillip, Neil [CWS] <[Neil.Phillip@ny.email.gs.com](mailto:Neil.Phillip@ny.email.gs.com)>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)  
**Importance:** High

Hello Goldman Sachs Team,

Following up on my email below.

Class Counsel has asked for a response so that it can be included in a declaration to the Court.

Without an adequate response, Class Counsel will have to raise your non-compliance to the inquiry with the Court.

Please reply asap with the requested information.

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

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**From:** Lambert, Grant

**Sent:** Friday, January 27, 2023 5:02 PM

**To:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>

**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Roshni and Goldman Sachs Class Action Team,

I hope you are well.

Following up on my email below.

We are preparing a document for Counsel would like to confirm the number of Notices sent by Goldman Sachs.

**Grant Lambert**

Epiq | Project Director

10300 SW Allen Blvd

Beaverton, OR 97005

Mobile: 503 207 3661

Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

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**From:** Lambert, Grant

**Sent:** Friday, January 20, 2023 11:26 AM

**To:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>

**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>

**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Roshni and Goldman Sachs Class Action Team,

I hope you are well.

Following up on my email below, do you have an update for Class Counsel?

**Grant Lambert**

Epiq | Project Director  
10300 SW Allen Blvd  
Beaverton, OR 97005  
Mobile: 503 207 3661  
Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

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**From:** Lambert, Grant  
**Sent:** Tuesday, January 17, 2023 4:52 PM  
**To:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>; info\_GeronSecuritiesLitigati  
<[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>  
**Subject:** RE: Geron Corporation (2020) (N.D. Cal.)

Hello Roshni,

I am writing to follow up on the Goldman Sachs request for Notices in the Geron Securities Settlement.

At the request of Class Counsel can you please confirm the number of Notices disseminated as well as a list of class member you sent the Notice to.

Please provide by 1/24/23.

**Grant Lambert**

Epiq | Project Director  
10300 SW Allen Blvd  
Beaverton, OR 97005  
Mobile: 503 207 3661  
Email: [glambert@epiqglobal.com](mailto:glambert@epiqglobal.com)

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**From:** Rajasekaran, Roshni <[Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)>  
**Sent:** Wednesday, January 4, 2023 12:47 PM  
**To:** info\_GeronSecuritiesLitigati <[info@GeronSecuritiesLitigation.com](mailto:info@GeronSecuritiesLitigation.com)>  
**Cc:** [gs-as-ny-class-action@ny.email.gs.com](mailto:gs-as-ny-class-action@ny.email.gs.com) <[gs-as-ny-class-action@gs.com](mailto:gs-as-ny-class-action@gs.com)>; Phillip, Neil <[Neil.Phillip@gs.com](mailto:Neil.Phillip@gs.com)>  
**Subject:** Geron Corporation (2020) (N.D. Cal.)

**CAUTION:** This email originated from outside of Epiq. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Phish Alert Report" button above.

Hi Claims Admin,

Hope this email finds you well. Requesting you to ship 300 copies of the Geron Corporation (2020) (N.D. Cal.) action to the below address at the earliest. Can you also please ensure the materials are not folded or stuffed into envelopes when they are sent over?

Goldman, Sachs & Co.  
Attn: Neil Phillip  
601 West 26th Street, 3rd Fl.  
Suite 360  
New York, NY 10001

Please acknowledge receipt of this request and please also provide the tracking information so we are up to date with the status of the package.

Thanks,

**Roshni Rajasekaran**

Vice President | Asset Servicing Pre Event - Global Markets Division

**Goldman Sachs & Co. LLC.**

200 West Street, New York, NY 10280

Office: +1 (212) 357-4475 | Mobile: +1 (917) 797-6923 | Email: [Roshni.Rajasekaran@gs.com](mailto:Roshni.Rajasekaran@gs.com)

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